
Theses and Dissertations

2019

Authentic leadership, employee engagement, and trust at a major logistics service company

John C. Mason

Follow this and additional works at: <https://digitalcommons.pepperdine.edu/etd>

Recommended Citation

Mason, John C., "Authentic leadership, employee engagement, and trust at a major logistics service company" (2019). *Theses and Dissertations*. 1041.
<https://digitalcommons.pepperdine.edu/etd/1041>

This Dissertation is brought to you for free and open access by Pepperdine Digital Commons. It has been accepted for inclusion in Theses and Dissertations by an authorized administrator of Pepperdine Digital Commons. For more information, please contact Katrina.Gallardo@pepperdine.edu, anna.speth@pepperdine.edu, linhgavin.do@pepperdine.edu.

Pepperdine University
Graduate School of Education and Psychology

AUTHENTIC LEADERSHIP, EMPLOYEE ENGAGEMENT, AND TRUST
AT A MAJOR LOGISTICS SERVICE COMPANY

A dissertation submitted in partial satisfaction
of the requirements for the degree of
Doctor of Education in Organizational Leadership

by

John C. Mason

April, 2019

Kent Rhodes, Ed.D. – Dissertation Chairperson

This dissertation, written by

John C. Mason

under the guidance of a Faculty Committee and approved by its members, has been submitted to and accepted by the Graduate Faculty in partial fulfillment of the requirements for the degree of

DOCTOR OF EDUCATION

Doctoral Committee:

Kent Rhodes, Ed.D., Chairperson

June Schmieder, Ph.D.

Shreyas Gandhi, Ed.D.

Copyright by John C. Mason (2019)

All Rights Reserved

TABLE OF CONTENTS

	Page
LIST OF TABLES.....	vi
LIST OF FIGURES.....	vii
VITA.....	xii
ABSTRACT	xiii
Chapter 1: Introduction	1
Background of the Study.....	1
Why Leadership?.....	2
Why Employee Engagement?	4
Why Trust?	6
Problem Statement	7
Purpose	8
Importance of Study	8
Definition of Terms	9
Theoretical Framework	10
Research Questions	10
Limitations	11
Assumptions	12
Organization of Study	12
Summary	13
Chapter 2: Review of the Literature	14
Overview	14
Theoretical Framework	14
Leadership	15
Employee Engagement.....	29
Trust.....	43
Summary	54
Chapter 3: Methods	56
Introduction	56
Research Methodology and Rationale.....	58
Trustworthiness of Study Design	59
Setting.....	59
Population, Sample and Sampling Procedures.....	60

Human Subject Considerations	61
Instrumentation.....	62
Validity and Reliability.....	64
Data Collection Procedures	65
Data Management	66
Data Analysis.....	67
Summary	68
Chapter 4: Findings	70
Purpose of the Study	70
Findings	71
Statistical Correlation.....	71
Quantitative Analysis	74
Qualitative Analysis	83
Demographics.....	84
Summary	90
Chapter 5: Discussion.....	91
Overview	91
The Findings Related to the Research Questions and Hypothesis	91
Authentic Leadership Revisited	94
Employee Engagement Revisited.....	94
Trust Revisited	95
Limitations	96
Future Suggested Research	98
Return to Study Purpose.....	101
Summary	101
REFERENCES.....	104
Appendix A: ALI Survey Cover Letter	119
Appendix B: Authentic Leadership Inventory.....	120
Appendix C: Employee Engagement Survey	123
Appendix D: Organizational Trust Inventory.....	128
Appendix E: Informed Consent Form	130
Appendix F: Employee Engagement Survey Questions Answers per Question	134
Appendix G: GSEP IRB Approval Letter	138

LIST OF TABLES

	Page
Table 1. Leadership Models	16
Table 2. Comparison of Leadership Development Theory	23
Table 3. State of the American Workplace	38
Table 4. Survey Summary Scores.....	72
Table 5. Authentic Leadership Inventory	76
Table 6. Scores by Question by Division	76
Table 7. Authentic Leadership Inventory	78
Table 8. Answers to Organizational Trust Inventory	89
Table 9. Interview Quotes	89
Table 10. Coding Theme Frequency	90

LIST OF FIGURES

	Page
Figure 1. Leadership vs. Management	3
Figure 2. McGregor's Theory X and Y.....	21
Figure 3. Avolio et al. (2004) model of authentic leadership	22
Figure 4. Illies et al., (2006) model of authentic leadership.....	26
Figure 5. Developing the moral component of authentic leadership (May et al., 2003).....	27
Figure 6. An integrative theory of employee engagement (Saks & Gruman, 2014, p. 173).....	30
Figure 7. Employee engagement (Macey and Schneider, 2008).....	34
Figure 8. Integrated multi-level framework for understanding trust in leadership (Burke et al., 2007, p. 613).....	47
Figure 9. Forms and degrees of trust (Lewicki & Bunker, 1996)	48
Figure 10. Dirks and Ferrin (2009) meta-analysis of leader actions and relationships.....	49
Figure 11. Convergent parallel mixed methods study (Creswell, 2014, p. 220)	58
Figure 12. Interviewee relationships	61
Figure 13. Template for coding a phenomenological study (Creswell, 2013, p. 207)	66
Figure 14. Creswell's data analysis spiral.....	68
Figure 15. Correlation of authentic leadership and employee engagement	72
Figure 16. Question 1: What division are you assigned to?	78
Figure 17. Question 2. What is your age group?.....	79
Figure 18. Question 3. I identify my ethnicity as:.....	79
Figure 19. Question 4: What is your education level?	80
Figure 20. Question 5: What is your employment status?.....	80

Figure 21. Question 6: What is your gender?.....81

Figure 22. Question 7: How long have you been with the company?.....81

Figure 23. Employee engagement survey scores by division83

Figure 24. Interviewees84

Figure 25. Descriptive statistics85

Figure 26. Age group of interviewees85

Figure 27. Ethnicity of interviewees85

Figure 28. Education level of interviewees86

Figure 29. Employment status among interviewees.....86

Figure 30. Gender.....86

Figure 31. Length of employment descriptive statistics.....87

Figure 32. Total family income87

DEDICATION

I dedicate this work to my loving and beautiful wife of 28 years, Blanca Rocío Pazmiño López de Mason who encouraged me, inspired me, and has helped me to grow more than I ever thought possible (and thanks for tiptoeing around the house when I was researching and writing).

ACKNOWLEDGMENTS

To my dissertation chair person, Dr. Kent Rhodes for your permanent support, guidance, friendship, patience, understanding, and professionalism throughout this project. You encouraged me constantly to help me make it through this journey.

To my committee members, Dr. Schmieder and Dr. Gandhi, for your friendship, encouragement, support, and hard work to help me fulfill my dreams.

To the faculty and staff of the Graduate School of Education and Psychology at Pepperdine University who work to make the impossible possible.

To the professionals at the “major logistics service company” for their support, insights, wisdom, and professionalism throughout this project. A special thanks to Gary Edwards who “gently” persuaded the respondents to complete the Authentic Leadership Survey.

To my sons. John-Fausto and Alex who patiently supported my efforts. I can only hope and pray that my efforts have and will serve as an example of what it means to be a life-long learner.

To my brothers and sisters, Pam, Steve, Lisa and Susan, thank you all for your love. A special note for my brother Steve. He passed away in August 2017 after suffering from early onset of Alzheimer’s. Alzheimer’s is a tragic, terrible sickness. When my brother was diagnosed with Alzheimer’s, I knew it could possibly be genetic, and I know that part of prevention is to keep your mind active. This provided part of the motivation to begin this journey.

To my late parents, Ed and Tripp Mason who raised me in an environment of intellectual curiosity and instilled in me values and the desire to learn. My father worked on his doctorate in electrical engineering at the Washington University of Saint Louis way back before it was possible to complete such a degree while working full time and with family obligations and was never able to finish. I am grateful to the American university system, and in particular to Pepperdine who

learned from past mistakes and now allows for full time professionals a path to further their education.

To my friends and family who endured the endless “I have to read an article...”

To my Pepperdine cohort whose friendship, support, and love kept me going, endured my presentations, and laughed and cried with me during the last four plus years.

To the Veteran’s Administration of the United States that provided the funding for my studies through the Post 9/11 GI Bill. Without this vision and support, this course of study would have been impossible.

VITA

John C. Mason

Education:

Pepperdine University

Ed.D. Organizational Leadership; 2019

Graduate School of Education and Psychology

Dissertation: *Authentic leadership, employee engagement, and trust at a major logistics service company*

University of Florida

Masters of Arts; 1998

Major Concentration: Latin American Studies with concentration in Political Science

Thesis: *Geography and the origins of the Ecuador-Peru Border Conflict*

Wake Forest University

Bachelor of Arts: Biology; 1985

Work History Highlights:

United Parcel Service- Saddle Brook, NJ

Industrial Engineering Supervisor

Alliance Academy International- Quito Ecuador

Security and Emergency Management Director

Microsoft Corporation- Redmond, WA

Americas Region Resilience Manager

United States Embassy- Quito (Tate-Inc. Department of Defense Contract)

Director, Personnel Recovery Center

United States Army

Field Artillery Officer, Foreign Area Officer

Awards:

The Bronze Star for wartime service in Afghanistan

Outstanding Military Volunteer Medal

Passaic County, NJ Distinguished Service Medal

Professional Certifications:

Certified Emergency Manager (International Association of Emergency Managers)

New Jersey Certified Emergency Manager (New Jersey Emergency Management Association)

Community Activities:

Board Chairman- Seed of Light Ministries, a non-profit 501-c3 charity

ABSTRACT

This mixed methods study examined the correlation between authentic leadership among management and employee engagement among unionized hourly workers in a major logistics service company and examined the factor of trust between management and union workers. Within a context of positive organizational behavior, by analyzing and comparing results of the Authentic Leadership Inventory and the Employee Engagement Survey and conducting interviews within a business division, the study determined that there are high levels of authentic leadership, employee engagement, and trust with the district where the study took place. The qualitative part of the study found a very weak negative correlation between authentic leadership and employee engagement. The qualitative interviews found high levels of interpersonal trust and trust in the company exist. Limitations existed in this study and may partially explain the findings. Suggestions for further research are included.

Chapter 1: Introduction

This mixed methods study examined the correlation between authentic leadership behaviors demonstrated by management and employee engagement levels reported by unionized hourly workers in a major logistics service company and examined the factor of trust between management and union workers.

This study analyzed and compared the results of the Authentic Leadership Inventory and the Employee Engagement Survey to draw conclusions on the relationship between authentic leadership and employee engagement. Interviews were conducted to highlight the factor of trust on relationships between management and unionized hourly workers. This study explored three fundamental areas related to this topic: authentic leadership, employee engagement, and trust.

Background of the Study

In their theory of authentic leadership, Avolio, Gardner, Walumbwa, Luthans, and May (2004) conceive of authentic leaders who "know who they are, what they believe and value, and act upon those values and beliefs while transparently interacting with others" (Avolio et al., 2004, p. 802). Earlier models, Avolio et al. (2004) noted, are insufficient in the linkage between authentic leaders and the behavior of followers. Their model provides a linkage between leadership to follower's behavior and attitudes. They introduced the importance of hope, trust, and positive emotions, combined with optimism to increase the follower's work attitudes that in turn influence positively follower's behaviors.

The concepts and constructs of employee engagement—the ideas of feeling connected to one's work, understanding expectations, sharing power and influence in the workplace, and related concepts are derived from instrumental theorists such as Frederick Taylor and his follower, Lillian Galbraith (Dagher, Chapa, & Junaid, 2015). Kahn drew upon psychologists

such as Freud, sociologists such as Goffman and Merton, and group-theorists Bion, Slater and Smith and Berg (Crawford, Rich, Buckman, & Bergeron, 2014). Kahn (1990) defined engagement in terms of physical behavior, cognitive behavior, and emotion. To add context and depth to this study an exploration of the concept of trust is necessary to explore how or even if trust interplays with authentic leadership and employee engagement.

Why Leadership?

"Leadership Makes the Difference" is a quote from Army Colonel Danny McKnight engraved on the entrance to the General George Patton Museum of Leadership at Fort Knox, Kentucky (McKnight, 2017). The global marketplace faces challenges from changing technologies, market demands, competition, and constantly changing conditions (Avolio and Gardner, 2005). The business setting where the study was conducted is set in a changing, dynamic marketplace. Leadership produces change and can establish direction and the vision for that desired change (Kotter, 1990). Leadership "is one of the most observed and least understood phenomena on Earth" (Burns, 1978, p. 2). "There are almost as many definitions of leadership as there are persons who have attempted to define the concept" (Stogdill, 1948, p. 259). Leadership is different than management. Kotter (1990) addresses how these two terms that often are used interchangeably are in fact quite different. A summary of Kotter's explanation of the difference between management and leadership are illustrated on Figure 2.

Leadership	Management
—Produces change and movement	—Produces order and consistency
• Establishes direction <ul style="list-style-type: none"> • Creates a vision • Clarifies the big picture • Sets strategies 	• Planning and budgeting <ul style="list-style-type: none"> • Establishes agendas • Sets timetables • Allocates resources
• Aligns people <ul style="list-style-type: none"> • Communicates goals • Seeks a commitment • Builds teams, coalitions and alliances 	• Organizing and staffing <ul style="list-style-type: none"> • Provide structure • Make job placements • Establish rules and procedures
• Motivates and inspires <ul style="list-style-type: none"> • Energizes • Empowers subordinates & colleagues • Satisfies unmet needs 	• Controlling and problem solving <ul style="list-style-type: none"> • Develop incentives • Generate creative solutions • Take corrective action

Figure 1. Leadership vs. management. Adapted from A force for change: how leadership differs from management. (p. 3) by J. Kotter, 1990. New York, NY: Free Press. Copyright Free Press Inc. Reprinted with permission.

There are many definitions of leadership. Winston and Patterson (2006) noted in their 2003 survey of scholarly articles, a search using the term "leadership" revealed 26,000 articles. Winston and Patterson (2006) surveyed 160 articles and developed constructs with 90 dimensions and proposed a definition of leadership. Their definition touches on common themes of influencing and changing behaviors to attain or achieve a desired outcome. They defined a leader as:

A leader is one or more people who selects, equips, trains, and influences one or more follower(s) who have diverse gifts, abilities, and skills and focuses the follower(s) to the organization's mission and objectives causing the follower(s) to willingly and enthusiastically expend spiritual, emotional, and physical energy in a concerted coordinated effort to achieve the organizational mission and objectives (p. 7).

What a leader does is practice leadership, the active part of the definition of a leader. Many definitions describe the leader's traits or characteristics. This fundamental bifurcation of leadership definitions is the genesis of the great debate: are leaders made or born?

Among the many varied definitions and frameworks of leadership, this study focused on authentic leadership. Authentic leadership is linked to positive organizational outcomes (Avolio

and Gardner, 2005). Authentic leadership is found to have a positive correlation with higher levels of trust in organizations, enhanced job satisfaction, and an opposite relationship on employees' loyalty, commitment, and commitment to achieving organizational goals and priorities (Hassan & Ahmed, 2011).

Why Employee Engagement?

There is great interest in employee engagement in both practitioner and research areas in recent years (Macey and Schneider, 2008). Lockwood (2007) lists workplace trends that have led to a focus on employee engagement:

- Employee-employer relationship evolving/changing to partnerships.
- Increased demand for work/life balance.
- Human resources' greater role in promoting the link between employee performance and its impact on business goals.
- Increasing focus on selective retention for keeping mission-critical talent.
- Work intensification as employers increase productivity with fewer employees and resources.
- Acquiring and keeping key talent reemerging as top issues of concern.
- Decline in traditional communication methods and an increase in cyber communication.
- Needs, wants and behaviors of the talent pool driving changes in attraction, selection and retention practices (p. 3).

Kahn in 1990 first introduced employee engagement in the workplace and is part of the larger, positive psychology movement (Jeung, 2011). Lockwood (2007) defines employee engagement as “the extent to which employees commit to something or someone in their organization, how hard they work, and how long they stay as a result of that commitment” (p. 2).

Harter, Schmidt, and Hayes (2002) define employee engagement as “individual’s involvement and satisfaction as well as enthusiasm for work” (p. 269). Although often used synonymously with job satisfaction, job satisfaction is a “more general theoretical construct” (Harter et al., 2002, p. 269). Braun, Peus, Weisweiler, and Frey (2013) also demonstrated that transformational leadership enhances job satisfaction and team performance.

The concept of employee engagement is significant because engaged employees have consistently shown to be “more productive, profitable, safer, healthier, and less likely to leave their employer” (Fleming & Asplund, 2007, p. 2). Engaged employees “display greater vigor, dedication, and absorption in their work, and should exhibit enhanced service performance because they are focused on their responsibilities and tasks” (Schaufeli, Bakker, & Salanova, 2006, p. 702). Lockwood also states that engaged employees perform 20% better and are 87% less likely to leave an organization. (2007, p. 2). Engaged employees have been found to have better levels of customer satisfaction and improved revenue levels (Vance, 2006; Wagner & Harter, 2006). Engaged employees are less likely to have a lost-time accident, are healthier, have increased sales, are more productive at work, and have better customer loyalty (Lockwood, 2007). Service industries are dependent on customer loyalty and must focus on employee engagement. Lockwood (2007) notes three levels of employee engagement:

- They are “connected to their company and work with passion. They are innovative and are movers and shakers within the company.
- Employees who are not engaged are just “there.” They are checked out. Collecting a paycheck. No passion, energy and are just watching the clock.
- The employees who are busy gossiping, criticizing, and undermine what everyone does are actively disengaged (p. 5).

Harter et al. (2002) measured employee satisfaction and engagement and their relationship to business outcomes at the business-unit level. They found that “business unit level employee satisfaction and engagement correlate positively with outcomes of customer satisfaction, productivity, profit, employee retention, and employee safety” (Harter et al., 2002, p. 269). They also found that these correlations could be generalized across organizations for all business unit outcomes (Harter et al., 2002). They found that engagement occurs when people say they are motivated, happy to work at their workplace, feel a sense of achievement, and recommend their workplace as a great place to work (Harter et al., 2002).

Shuck and Wollard (2010) explore the definitions of employee engagement in the literature and propose the following definition of employee engagement as “the process of positively motivating employees cognitively, emotionally, and behaviorally toward fulfilling organizational outcomes” (p. 103). Engaged employees display greater vigor, dedication, and absorption in their work, and should exhibit enhanced service performance because they are focused on their responsibilities and tasks (Schaufeli, Bakker, & Salanova, 2006).

The opposite of engagement is disengagement. This occurs when employees “check out” and although they are at their workplace they no longer contribute, giving of their “talent, creativity, energy, and passion” (Covey & Merrill, 2006, p. 251). Covey and Merrill (2006) lists disengagement as one of the “low-trust taxes” that most impact an organization.

Why Trust?

Trust is a necessary factor to create employee engagement (Vragel, 2013). Trust is “the outcome of interactions among people’s values, attitudes, moods, and emotions” (Vragel, 2013, p. 27). Kramer (1999) wrote that trust allows the economy to run smoothly and provides the connections for economic movement. Norman, Avolio, and Luthans (2010) identify trust as the

most influential component in cooperation among members of an organization. Trust is an influential component and is the one variable identified in their study that most influences attitudes and behaviors (Hsieh & Wang, 2015, p. 2330). Sinek (2009) writes that trust “begins to emerge when we have a sense that another person or organization is driven by things other than their own self-gain” (p. 84). Sinek describes trust as a feeling and not a rational experience. Cummings and Bromiley (1996) argued that trust reduces transaction costs within an organization and between organizations. To add context and depth to this study, an exploration of the concept of trust was necessary to see how authentic leaders create trust to provide high levels of employee engagement.

Problem Statement

The major logistics service company in this study must reduce employee turnover, maintain a high level of performance in a changing market, and maintain its high level of customer and public trust. It seeks to maintain its principles and values, while following its strategy to create value, transform, and invest to grow to accomplish its mission of growing its global business, maintaining a financially strong company, inspiring its people and partners to do their best, while leading the market to make a positive difference in the communities they serve. The company maintains a global footprint and faces many challenges. Increased competition from Amazon, its most significant competitor and customer at the same time, increasing use of technology, a mostly unionized workforce, and the rapid increase in package volume due to e-commerce, produces stress to force rapid growth and change in a large organization. To accomplish their goals and meet these challenges, improved leadership and employee engagement are crucial priorities for business success in today's service industries.

Purpose

The purpose of this mixed methods study was to examine the correlation, if any, between authentic leadership behaviors demonstrated by management and employee engagement levels reported by unionized hourly workers in a major logistics service company. The study also examined the extent if any, that trust plays between management and union workers. To do this, this study analyzed and compared the results of the Authentic Leadership Inventory and the Employee Engagement Survey and conducted interviews within a business division to examine attitudes on trust from a division a manager, a business center manager, a preload manager, full-time and part-time supervisors, delivery drivers and package handlers. The Organizational Trust Index (Cummings and Bromiley, 1996) provided the basis for questions and discussions during the interviews. Within a context of positive organizational behavior, if there is a correlation between authentic leadership and employee engagement, and trust is identified to be a positive relationship, then perhaps an emphasis on leader training can lead to improved company performance.

Importance of Study

The relationship between authentic leadership, employee engagement, and trust has not been examined in a similar setting as in this study. This study, set in a large global logistics company, tested the hypotheses in a complex, changing, and competitive environment. Employee engagement is more often discussed in office settings and there are few references to employee engagement in industrial, unionized, hourly employee settings. The literature provides examples of relationships between authentic leadership and employee engagement, but none in the context of a union environment. There are some references in the literature to the importance of the individual in organizational trust, but few or none in the context of authentic leadership

and employee engagement in a major corporation in a union environment. This study sought to synthesize these three ideas (authentic leadership, employee engagement, and trust) in a specific context in order to perhaps develop an insight on how to improve company performance. If a positive correlation were to be found between authentic leadership, employee engagement, and trust, at the business unit level, then with quantitative and qualitative data, a more robust leadership development training program could be justified for development.

Definition of Terms

Leadership. Leadership is defined for the purposes of this study as a “process whereby an individual influences a group to achieve a common goal” (Northouse, 2013, p. 5).

Authentic Leadership. Authentic leadership is a process that draws from both positive psychological capacities and a highly developed organizational context, which results in both greater self-awareness and self-regulated positive behaviors on the part of leaders and associates, fostering positive development (Luthans and Avolio, 2003, p. 243). Avolio et al., (2004) describe authentic leaders as:

“Authentic leaders are those who are deeply aware of how they think and behave and are perceived by others as being aware of their own and others’ values/moral perspectives, knowledge, and strengths; aware of the context in which they operate; and who are confident, hopeful, optimistic, resilient, and of high moral character” (Avolio et al, 2004, p. 4).

Employee Engagement. Employee engagement is “The extent to which employees commit to something or someone in their organization, how hard they work, and how long they stay as a result of that commitment” (Lockwood, 2007, p. 2).

Trust. Trust is a “psychological state comprising the intention to accept vulnerability based upon positive expectations of the intentions or behaviors of another” (Rousseau, Burt, Sitkin, & Camerer, 1998).

Theoretical Framework

Positive organizational behavior provided the theoretical framework for this study. Luthans and Avolio (2009) define positive organizational behavior as "the study and application of positively oriented human resource strengths and psychological capacities that can be measured, developed, and effectively managed for performance improvement in today's workplace" (p. 298). The overall goal of positive psychology is to "create organized systems that actualize human potential" (Peterson & Spiker, 2005, p. 154) and emerges from the field of positive psychology that studies "the strengths and virtues that enable individuals and communities to thrive" (Bakker and Schaufeli, 2008, p. 148). These studies are related to employee well-being and performance improvement. Luthans and Avolio's (2003) model of positive organizational behavior outlines capacities that include confidence, hope, optimism, and resiliency. Positive organizational behavior creates the base for studies affecting employee engagement (Bakker and Schaufeli, 2008).

Research Questions

The research questions for this study were:

Q1: What is the relationship, if any, between authentic leadership among management and employee engagement among unionized hourly employees?

Q2: In relation to the literature in what ways do the qualitative interviews contribute to a more comprehensive understanding of the relationship of authentic leadership and employee engagement?

The hypotheses for Question 1 were:

Null Hypothesis (H0): there is a positive correlation between the scores on the authentic leadership inventory and the employee engagement survey.

Alternate Hypothesis (H1): There is a negative correlation between the scores on the authentic leadership inventory and the employee engagement survey.

Alternate Hypothesis (H2): There is no correlation between the scores on the authentic leadership inventory and the employee engagement survey.

The hypotheses for Question 2 were:

Null hypothesis (H0): There is more mention of a positive trust environment when the correlation of authentic leadership is high.

Alternate Hypothesis (H1): There is more mention of a negative trust environment when the correlation of authentic leadership is low.

Alternate Hypothesis (H2): There is no discernable relationship between trust and authentic leadership with employee engagement.

Limitations

This study based conclusions on the results from two survey instruments, the Authentic Leadership Inventory and the Employee Engagement Survey and cannot be compared to potential results based on other instruments. This study was conducted within a population sample among management and unionized hourly employees in the North Atlantic region of the United States and conclusions drawn with this population cannot be generalized across the country in other districts or in other industries or in non-union environments. It was also a cross-sectional study and did not explore the possible relationship of authentic leadership (or any leadership framework) and employee engagement that may change over time. It examined

relationships in a small sampling of a very large, global company. There also may have been limitations in the time spent answering questions in the survey.

Assumptions

This study assumed that the study participants would be available for the surveys and interviews and would answer candidly. The selection criteria for the interview participants were appropriate and assures that all participants would have experienced the shared experience of trust. This study assumed the participants are sincere in their answers and are objective in their opinions and answers. This study assumed the continued access to company resources, such as employees, and survey data. It also assumed that the researcher has adequate time to prepare for and to conduct the interviews and as well as access as promised to the employee engagement data. It assumed that survey participants would respond in sufficient numbers and timeliness to facilitate the timely access to research data.

Organization of Study

This study was organized to present logical information in a manner for the reader to fully understand the nature of the problem presented and the logic of the researcher's objectives. Chapter one provided an introduction and background of the nature of the problem. This included an introduction of the research questions, the logic used, and a definition of terms used throughout the study. The theoretical framework used for the basis for the study was introduced. Chapter two provided a literature review related to these issues. The literature review provided an overview, a discussion on the theoretical framework, positive organization behavior, used in the study, and provided reviews of the relevant literature on authentic leadership, employee engagement, and trust. Chapter three presented the research design. It presented the research questions and the proposed methodology to study and answer those questions. This included

how the data would be gathered and how the data would be analyzed. Chapter four included the findings of the study. Conclusions and recommendations for the investigation comprised chapter five.

Summary

This chapter introduced this mixed methods study that examined the relationship between authentic leadership behaviors demonstrated by management and employee engagement levels reported by unionized hourly workers in a major logistics service company and examines the factor of trust between management and union workers. It introduced the broad categories of the study: leadership, employee engagement, and trust. Along with a brief background, this chapter provided the problem statement, the purpose and significance of the study. It introduced the theoretical framework. This chapter introduced the research questions, hypotheses, and provided definitions of certain terms. This chapter introduced the research instruments: the Authentic Leadership Inventory, the Employee Engagement Survey, and the Organizational Trust Inventory. The next chapter provides a review of the literature.

Chapter 2: Review of the Literature

Overview

This chapter explores the major literature relevant to this mixed methods study that examines the relationship between authentic leadership among management and employee engagement among unionized hourly workers in a major logistics service company and examines the factor of trust between management and union workers. This chapter begins by providing a brief review of the theoretical framework used to provide a base for this study. The theoretical framework is then followed by discussions of authentic leadership, employee engagement, and trust. This chapter concludes with a summary.

Theoretical Framework

Positive organizational behavior provided the theoretical framework for this study. Luthans (2002b) defines positive organizational behavior as “the study and application of positively oriented human resource strengths and psychological capacities that can be measured, developed, and effectively managed for performance improvement in today’s workplace” (p. 298). Positive organizational behavior is set within the construct of positive psychology.

Although psychology has had three identifiable areas of curing mental illness, helping healthy people achieve happier and more productive lives, and lead more productive lives, researchers largely ignored the latter two (Jeung, 2011; Luthans, 2002a). Psychology traditionally has been focused on the illness and dysfunctional model and the literature points to Seligman and Csikszentmihalyi (2000) were able to “redirect the psychological research” to help the latter two forgotten areas: “help healthier lead more happy and productive lives and to actualize their potential” (Jeung, 2011, p. 51). Positive psychology is a relatively new domain of psychology and has three main contributors of theory. Its focus is to shift towards what is right

with people, not what is wrong, it focuses on strength and character, resilience, wellness, prosperity, and the good life (Luthans, 2002a). Seligman is regarded as the founder of Positive Psychology. Seligman's describes his theory of positive psychology meaning people choose what brings them happiness in terms of positive emotion, engagement, and meaning (Seligman, 2011). Csikszentmihalyi is regarded as the co-founder and researched the concept of "Flow." (Peterson & Seligman, 2004). Flow refers to his concept of a "subjective state that people report when they are completely involved in something to the point of forgetting time, fatigue, and everything else but the activity itself" (Csikszentmihalyi, 2014, p. 230). The third major contributor to positive psychology is Peterson, who co-published his seminal book: "Character, Strengths and Virtues" (Peterson and Seligman, 2004). This book was the answer to the psychology field's focus on psychological disorders, or what Peterson termed "only half of the landscape of the human condition" (Peterson and Seligman, 2004, p. 4). The suggested theory focuses on what is right about people and their character strengths that make happiness possible.

Positive organizational behavior research focuses on impacts on performance. In Luthans' model, positive organizational behavior capabilities are states, and as such are open to learning, development, change, and management (Luthans, 2002b). These states can be developed through training managed, or self-developed. Luthans' model includes criteria of "confidence, hope, optimism, subjective well-being, emotional intelligence, and resiliency" (Luthans, 2002b, p. 699).

Leadership

Why leadership? Since an important part of the framework includes performance improvement and accepting Kotter's (1990) notion that leadership exists to produce change and movement vice management that exists to produce order and consistency, then leadership is the

framework to produce change. “By any objective measure, the amount of significant, often traumatic, change in organizations has grown tremendously over the past two decades” (Kotter, 2012, p. 3). The marketplace is changing. The business environment is changing. The demographics, customer requirements, employees are changing. Everything changes. It takes leadership, not management, to enact and enable change.

Schein (2010) describes culture as the “here and now dynamic phenomenon and a coercive background structure that influences us in many ways” (p. 23). Culture “provides the rules, it implies rigidity and stability” (Schein, 2010, p. 3) and it can be thought of as the “foundation of societal order” (Schein, 2010, p. 3) and exists at many levels of analysis. Because, in Schein’s view, culture constantly changes, reenacts and is created by “our interactions and shaped by our own behavior” (p. 3), leadership is when “we are influential in shaping the behavior and values of others” thus “creating the conditions of the formation of new culture” (Schein, 2010, p. 3). Burns (1978) also described leadership as a function of power and relationships. Burns describes has two necessary components: motives and resources. One can have motive but no resources, or resources but no motive (Burns, 1978). One must have both to exercise power. Burns concluded that “to understand the nature of leadership requires an understanding of the essence of power, for leadership is a special form of power” (1978, p. 12). So how does one describe leadership?

There are many theories or frameworks of leadership. Leadership theories or frameworks can be thought of in two broad categories. The first category is the group of *trait* characteristics. These frameworks focus on the characterizes of the leader and include both traits such as their intelligence, fluency, or other personal abilities and the skills approach that focus also on the leaders’ abilities. Among the trait theories are the great man theory (Stogdill, 1948), the skills

approach (Katz, 1955), and style approach (Northouse, 2013). The second broad category includes the process definitions of leadership that focus on the interaction between the leader and the followers. Among the process models or frameworks are again two major categories. These are the transactional and the transformational. The transactional models include the leadership by exception, contingency reward, laissez-faire etc. Transactional leadership models are conditional. A leader can provide rewards or punishments for the follower, depending on the follower's performance (Bass & Riggio, 2006). The second group includes theories that change or transform individuals in the interaction between the leader and the led. This includes theories of authentic, servant, and transformational leadership. Table 1 highlights several leadership theories.

Table 1.

Leadership Models

Leadership Theory	Year	Main Author/Theorist	Key Components
Great Man theory	1948, 1974	Stogdill	Traits- drive, vigor, persistence, risk taking, self-confidence, willingness to accept consequences of decision and action, readiness to absorb stress
Skills approach	1955	Katz	Competencies technical skill, human skills, and conceptual skills
Transactional leadership	1947	Webber	Accomplish objectives, complete tasks, avoid unnecessary risks, improving organizational efficiencies
Servant leadership	1970	Greenleaf	Listening, valuing people, trust, integrity, humility, collaboration
Transformational leadership	1960, 1978	Burns	Idealized influence, inspirational, motivation, intellectual stimulation, individualized consideration
Authentic leadership	1990, 2003	Burns, Luthans and Avolio,	Purpose, values, connectedness, consistency, compassion

(Continued)

Leadership Theory	Year	Main Author/Theorist	Key Components
Leader-member-exchange	1975	Dansereau, Green, and Haga; Graen and Haga	Communication, relational, interaction between leaders and followers, attitudinal similarity, dyad partners

In this study, two models of leadership were considered for use, transformational leadership and authentic leadership. This section begins with a brief discussion of transformational leadership and follows with a comparison between the transformational and authentic leadership. A broader discussion of authentic leadership follows.

Transformational leadership. Transformational leadership is among the most researched leadership frameworks over the last 30 years (Avolio et al., 2004). It is a hybrid approach that brings together most major elements of the most common leadership frameworks. It is based on the work by Burns (1978) and Bass (1985) brought the framework forward to the business community (Avolio et al., 2004). Transformational leadership is a “process that changes and transforms people” (Bass & Riggio, 2006, p. 3). It includes the ideas of inspiring followers toward a “shared vision and goals for the organization, challenging members to be problem solvers and developing their potential and growth” (Bass & Riggio, 2006, p. 4). It is concerned with “emotions, values, ethics, and standards, and long-term goals” (Bass & Riggio, 2006, p. 4) and motivates follows by “appealing to higher ideals and moral values” (Bass & Riggio, 2006, p. 4). Transactional leaders focus on tasks and rewards while transformational leaders focus on engagement and interaction with others and raise the motivation and morality of both leader and follower (Bass & Riggio, 2006). Transformational leaders are attentive to the motivations and needs of their followers. Transformational leaders look at the needs of the group and get followers to aspire to look beyond their own needs. It is based on positive values and ideals. Bass and Riggio (2006) outline four transformational leadership factors as idealized influence,

inspired motivation, intellectual stimulation, and individualized consideration. Idealized influence is provided by leaders who provide organizations with a strong vision and sense of mission. Transformational leadership is consistent with higher employee engagement as well (Yuan, Lin, Shieh, & Li, 2012).

Although much of transformational leadership theory is based in positive behavior, Bass (1985) suggested that transformational leaders, based upon their motives, could exhibit ethical or unethical behaviors (Avolio et al., 2004). Luthans and Avolio (2003) introduced their framework of authentic leadership in an attempt to include concepts of positive leadership, positive organizational behavior, and ethics in order to clarify and extend transformational leadership.

Authentic leadership. Authenticity can be traced to Greek philosophy in “To thine own self be true” (Avolio & Gardner, 2005, p. 319; Harter, 2002, p. 382). We get the word authentic from the Greek word *authentikós*, “from one’s own authority” (Avolio & Gardner, 2005, p. 319). Persons who are solidly based in their values and act accordingly are authentic (Avolio & Gardner, 2005; Harter, 2002). Authentic leadership literature can be divided into two broad groups—the scholarly, academic research and the practitioners. Authentic leadership theory development began in the late 1990s and early 2000s in an era of corporate scandals and in the aftermath of 9/11 and an uncertain economy at the time and required positive leadership (Cooper, Scandura, & Schriesheim, 2005). Failure of senior leaders, corporate CEOs and reflection upon failed politicians with their failed policies in Iraq and Afghanistan led to a renewal of social science investigations and reflection on how to teach leadership better (Walumba & Wernsing, 2012).

Authentic leadership can find its origins in the notion of a “true self” (Ladkin and Taylor, 2010, p. 65). The authentic leader knows oneself, acts in accordance with one’s own value system, understands who they are and what they believe in, and is able to express their own self to the followers who see the authenticity of their leader (Harter, 2002, Ladkin & Taylor, 2010). Peus, Wesche, Streicher, Braun, and Frey (2012) posited that self-knowledge and self-consistency are prerequisites to developing authentic leadership. Those with high levels of self-knowledge have clear values and convictions (Peus, et al., 2012). These high levels are related to and linked to leader’s predictability and thereby trust from the follower.

Luthans and Avolio (2003) define authentic leadership as “a process that draws from both positive psychological capacities and a highly developed organizational context, which results in both greater self-awareness and self-regulated positive behaviors on the part of leaders and associates, fostering positive self-development” (p. 243). How did we get to see the human side of leadership?

In the 1960 management classic, *The Human Side of Enterprise*, Douglas McGregor introduce his Theory of X and Theory of Y to provide a fundamental distinction between management styles (Hindle & Economist, 2008). Theory X assumes an authoritarian style “that places emphasis on productivity, the concept of a day’s fair work, on rewards for performance, and assumes workers are base, work-shy, and need to be prodded constantly” (Hindle & Economist, 2008, p. 187).

Theory Y assumes that employees exercise self-direction, and self-control and go to work on their accord because they seek a higher need of satisfaction and fulfillment. Managers and leaders then serve to motivate and maximize the employee’s commitment. While recognizing certain aspects of Theory X such as perhaps not all employees seek satisfaction and fulfillment

due to cultural considerations, Theory Y sets the stage for authentic leadership. A depiction of McGregor's Theory is found in Figure 2.

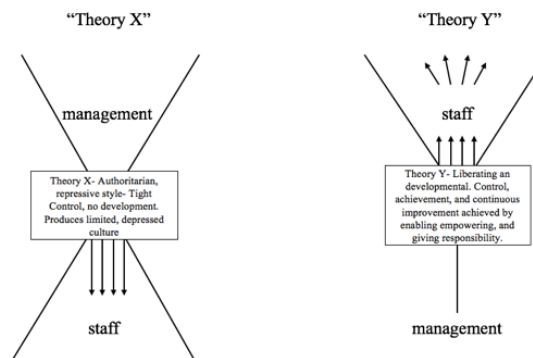


Figure 2. McGregor's theory X and Y. Adapted from Chapman's 2001 interpretation of McGregor's Theory of X and Y. Copyright Alan Chapman and www.businessballs.com. Reprinted with permission.

Authentic leadership theory. Luthans and Avolio (2003) provided the initial framework of authentic leadership and identified for positive psychological capacities as resources for the authentic leader; they are confidence, optimism, hope, and resiliency. Importantly, Luthans and Avolio (2003) argue that authentic leadership has an organic moral and ethical component. In their theory of authentic leadership, Avolio et al. (2004) conceive of authentic leaders who “know who they are, what they believe and value, and act upon those values and beliefs while transparently interacting with others” (p. 802). Earlier models, Avolio et al. (2004) noted are insufficient in the linkage between authentic leaders and the behavior of followers. Their model provides a linkage between leadership to follower's behavior and attitudes. They introduced the importance of hope, trust, and positive emotions, combined with optimism to increase the follower's work attitudes that in turn influence positively follower's behaviors. Their model is depicted in Figure 3.

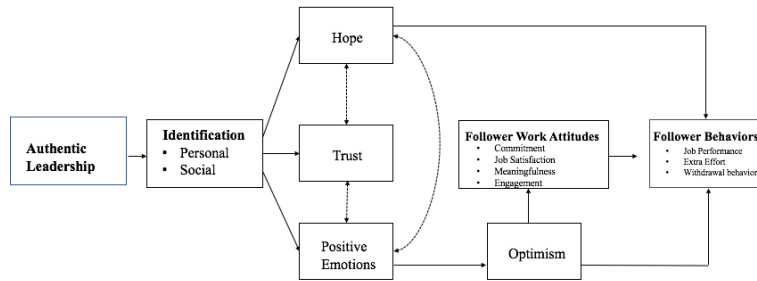


Figure 3. Avolio et al. (2004) model of authentic leadership. Adapted from Avolio, et al., (2004, p. 803). Copyright Elsevier, Inc. Used with permission.

From this body, authentic leadership has four components: self-awareness, positive self-regulation, positive self-development, and a positive moral perspective (Gardner, Coglisser, Davis, & Dickens, 2011, p. 1123). The Leadership Quarterly published a special issue in 2005 focusing on authentic leadership. Avolio and Gardner wrote the introduction and first article (along with Luthans, May, and Walumbwa; Gardner, Avolio, Luthans, May & Walumbwa, 2005). Gardner, et al, (2005) introduced a framework of authentic leadership and follower development. Their call is not just for authentic leaders but to develop authentic leaders and to “lead others by helping them to likewise achieve authenticity” (Gardner, et al, 2005, p. 344). They summarized the key components and differentiated authentic leadership from similar leadership frameworks. Important to note in Table 2 is the first complete description of the components of authentic leadership. A summary of their table is found in Table 2. The table compares components of authentic leadership to transformational leadership (TL), charismatic (CL), servant (SVT), and spiritual (SP) leadership frameworks. Charismatic leadership is shown in its two basic forms: CL(B) which is behavioral theory of charismatic leadership and CL(SC) or self-concept-based theory of charismatic leadership. As indicated in Table 2, authentic leadership shares many components with the similar leadership frameworks, but not all. The areas marked below with

two x's are focal components of the theory while those with a single x are discussed but not necessarily a focal component.

Table 2.

Comparison of Leadership Development Theory

Components of authentic leadership theory	TL	CL (B)	CL (SC)	SVT	SP
Positive psychological capital	x	x	x		x
Positive moral perspective	xx	xx	xx	xx	xx
Leader self-awareness					
Values	xx	xx	xx	xx	xx
Cognitions	xx	xx	xx	xx	xx
Emotions	xx	xx	xx	xx	xx
Leader self-regulation					
Internalized	xx		xx		xx
Balanced processing	xx				
Relational transparency	xx				
Authentic behavior	x	x	x	xx	
Leadership processes/behaviors					
Positive Modeling	xx	xx	xx	x	x
Personal and social identification	xx	xx	x	xx	xx
Emotional contagion	xx	x	x	x	x
Supporting self-determination	xx	x	x	x	x
Positive social exchanges	xx	x	x	x	x
Follower self-awareness					
Values	xx		xx		xx
Cognitions	xx		xx	x	xx
Emotions	xx		xx		xx
Follower self-regulation					
Internalized	xx	xx	xx	x	xx
Balanced processing	xx		x		
Relational transparency	xx		x		x
Authentic behavior					
Follower development					

(Continued)

Components of authentic leadership theory	TL	CL (B)	CL (SC)	SVT	SP
Organizational context					
Uncertainty	xx	xx	xx		
Inclusion	xx				xx
Ethical	xx			x	
Positive, strengths-based					
Performance					
Veritable	xx	xx			
Sustained	xx	xx			
Beyond expectations	xx	xx			x

Shamir and Eilam's (2005) framework for authentic leadership provides that each leader's strength comes from their life story. From a leader's difficult times in their lives comes their self-awareness and then can define their values or what is important to them. Shamir and Eilam (2005) proposed a definition of authentic leadership based on the leader's self-concept. The leader's "self-knowledge, self-concept clarity, self-concordance, and person-role merger, and on the extent to which the leader's self-concept is expressed in their behavior" (p. 395). This self-knowledge is developed by "constructing, developing, and revising their life-stories" (Shamir and Eilam, 2005, p. 396). Their arguments provided a shift from the then-current self-development models from skill development and styles to the development an appreciation of their life-story. Shamir and Eilam's work provided the basis of many of the popular practitioner's models such as Bill George, former CEO of Medtronic and popular author. Importantly, their model indicates that just because a leader believes him or herself to be authentic doesn't make it so. A leader's authenticity is "authenticated" by the followers (Shamir and Eilam, 2005).

Novicevic, Harvey, Ronald, and Brown-Radford (2006) recognized the renewed emphasis on developing authentic leadership theory and in their paper, provided a historical perspective on authentic leadership. They "interpreted the historical meanings conveyed by

Barnard's classic works and used them for theorizing about authenticity of leaders in executive roles" (Novicevic et al., 2006, p. 63). They examined philosophical and psychological traditions in developing their concepts of authenticity. Authenticity then, reflects a leader's moral capacity to align "responsibilities the self, to the followers, and to the public in efforts to sustain cooperative efforts within and outside of the organization" (Novicevic et al., 2006, p. 73). In order to be authentic, a leader must balance his or her multiple responsibilities.

Ilies, Morgeson, and Nahrgang (2005) examined the concept of authenticity in leadership and the influence of authentic leadership and authenticity on leader and follower eudemonic well-being. They provided a definition of authentic leadership drawn from two philosophical conditions of well-being- hedonism and eudemonia. Hedonism is the basic principal of approaching pleasure and avoiding pain while eudemonic well-being is based on Aristotle's ideas of the good life as being able to focus on "living in a manner that expresses excellence of character or virtue" (Ilies, et al., 2005, p. 375). Ilies et al. (2005) based their work on principles of positive organizational scholarship and presented a four-component model of authentic leadership. Their model includes self-awareness, unbiased processing, authentic behavior/acting, and authentic relational orientation. In their model (illustrated below in Figure 4), Ilies et al. (2006) list the components of authentic leadership, the eudemonic components affected by authentic leadership, the connection and mechanisms through which authentic leadership can influence followers and the followers' eudemonic well-being. Ilies et al. (2005) provided a new definition, bases the definition of authentic leadership in positive organizational scholarship, and complements the existing literature (Avolio & Gardner, 2005; Gardner et al., 2005; Luthans & Avolio, 2003; and May, Chan, Hodges, & Avolio, 2003).

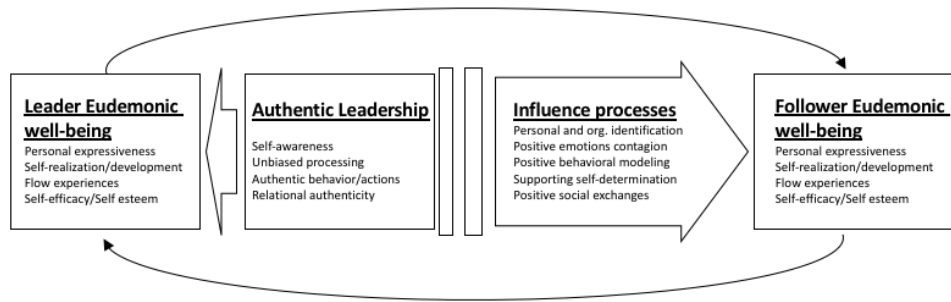


Figure 4. Model of authentic leadership from Lilius et al. (2005, p.377). Copyright Elsevier, Inc. Used with permission.

Clapp-Smith, Vogelgesang, and Avey (2009) argued that authentic leadership and psychological capacity (*PsyCap*) may occur at the group level and can influence group performance. Their framework was based on social cognitive theory and social contagion theory that describe how individuals react and provide social context. While exploring the constructs of authentic leadership and *PsyCap*, Clapp-Smith et al. (2009) also included trust as a mediating variable. Their research suggests that increased authentic leadership leads to increased trust that in turn leads to improved financial returns in business due to the followers “willing to invest more time and resources to work a future outcome” (Clapp-Smith et al., 2009, p. 229). Luthans, Avolio, Avey, and Norman (2007, p. 542) define *PsyCap* as a “positive state of development characterized by self-efficacy, hope, resiliency, and optimism.” *PsyCap* levels are related to organizational performance and these higher psychological states “contribute to higher levels of effectiveness and flourishing in organizations” (Luthans et al., 2007, p. 542).

Ethics and authentic leadership. Thinkers have thought and pondered the “why” of ethics, how we do things and how we decide what we decide since the beginning of civilization. By defining ethics, and fully understanding the theoretical foundations of ethics it becomes

clearer that we are attempting to influence the moral relationships and behavior. “Ethical content focuses upon values” (Bass and Steidlmeier, 1999, p. 182).

Bass and Steidlmeier (1999) claimed that leadership ethics has three fundamental bases: (a) “The leader’s moral character, (b) the ethical legitimacy of the values embedded in the leaders’ vision, articulation, and program which followers either embrace or reject; and (c) the morality of the processes of social ethical choice and action that leaders and followers engage in and collectively pursue” (p. 182).

Authentic leadership relies upon and includes a sound ethic (Luthans and Avolio, 2003). Authentic leadership is based on leaders having solid values, and making sound moral decisions (Luthans and Avolio, 2003). Authentic decision-making “involves recognizing the level of intensity associated with each moral situation” (May, Chan, Hodges, & Avolio, 2003, p. 1). May et al. (2003) argue that authentic leaders have a more developed capacity to judge moral dilemmas from various points of view. May et al. (2003) proposed that authentic people form the basis of authentic leadership and that authentic leadership is at the base of all “positive, social construction forms of leadership (p. 3). May et al. (2003) developed a framework that builds on decision-making ethical decision-making, and positive organizational behavior and psychology and is illustrated in Figure 5.

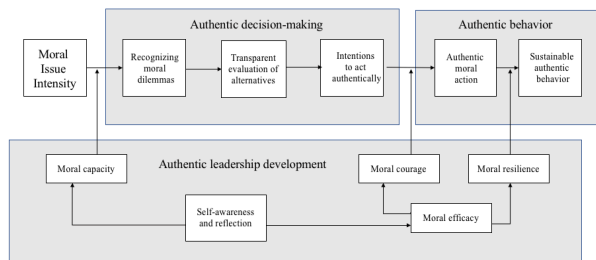


Figure 5. Model of developing the moral component of authentic leadership. From May et al. (2003, p. 250). Copyright Elsevier, Inc. Reprinted with permission.

Zhu et al. (2004) proposed a theoretical model where ethical leader behavior positively influences the commitment of an employee to the organization and influences trust through psychological empowerment. In their study, an employee's psychological empowerment includes four components (meaning, self-determination, competence, and impact) and "mediates the relationship between ethical leader behavior and organizational commitment and trust" (Zhu et al., 2004, p. 23).

Authentic Leadership and Emotional Intelligence. The term emotional intelligence was developed in 1990 by Salovey and Mayer (Goleman, 2005). Emotional intelligence is "the capacity for recognizing our own feelings and those of others, for motivating ourselves, and for managing emotions well in ourselves and in our relationships" (Goleman, 2005, p. 27). Emotional intelligence describes "abilities distinct from, but complementary to, academic intelligence" (Goleman, 2005, p. 27). Emotional intelligence theory maintains that raw intelligence is not enough to be an effective leader, but leaders must have self-awareness, self-regulation, motivation, empathy, and social skills (Goleman, 2005, p. 27). Emotional intelligence has "positive statistically significant associations with authentic leadership" (Kotze & Nel, 2015, p. 1). There is some evidence of a positive correlation between high scores in emotional intelligence and high scores on authentic leadership. In addition, the emotional intelligence component of empathy was a statistically significant predictor of authentic leadership (Kotze & Nel, 2015, p. 1).

Criticisms. Ford and Harding (2017) use object relations theory to argue that "authentic leadership as an indication of a leader's true self" (p. 465) is impossible and to attempt it would be destructive to an organization. Ford and Harding (2017) claim that authentic leadership theory does not acknowledge a person's imperfections and so "hampers subjectivity" (p. 465).

Authentic leadership, because it is rooted in positive organizational psychology, does not explore pathological behavior. Self-awareness is a main component of the authentic leadership framework. Research in ethical decision making brings forth some of the difficulties in the concept of self-awareness. Ethical fading was introduced by Tenbrunsel and Messick in 2004. They produced a framework to enhance the understanding of ethical decision making. Their argument is that self-deception is the root of ethical fading. They describe ethical fading to “define the process by which the moral colors of an ethical decision fade into bleached hues that are void of moral implications” (Tenbrunsel & Messick, 2004, p. 224). Although a leader may ascribe to be self-aware, it may not be that easy.

Employee Engagement

There is great interest in employee engagement in both practitioner and research areas in recent years (Macey & Schneider, 2008). The term employee engagement can be directly traced to Kahn (1990). The two main groups of theories can be traced to Kahn (1990) and Maslach, Schaufeli, & Leiter (2001). Maslach et al. (2001) proposed a model that is known as job burnout that is caused by “mismatches” in six areas of an organization. They are workload, control, rewards and recognition, community and social support, perceived fairness, and values (Maslach et al., 2001). Demerouti et al. (2001) developed the Jobs Demands-Resources (JD-R) model. The JD-R model suggests that work conditions fall into two broad categories; job demands and job resources (Demerouti et al., 2001; Saks & Gruman, 2014) but according to Saks and Gruman (2014) it is possible that JD-R is not really a theory but just a way to organize job demands and job resources. Accordingly, Saks and Gruman (2014) proposed their theoretical model of employee engagement that “reconciles and integrates” (p. 172) the JD-R model and Kahn’s 1990 framework. The Saks and Gruman framework includes the job resources and Kahn’s three

psychological conditions (and makes a distinction between meaningfulness at work and meaningfulness in work) and links specific job demands and job resources to each of Kahn's psychological conditions to different types of employee engagement. Their model is illustrated in Figure 6.

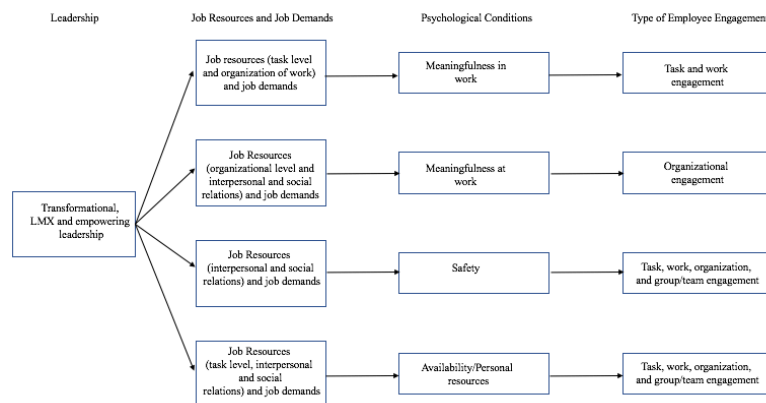


Figure 6. An Integrative Theory of Employee Engagement. Adapted and used with permission from Saks and Gruman (2014, p.173). Copyright Wiley Periodicals, Inc.

This section will review these two theories and will discuss Saks and Gruman's (2014) theory to integrate and reconcile the two main groups. The first section reviews Kahn's ideas and then provides a review of some of the most important literature on this subject. The concepts and constructs of employee engagement- the ideas of feeling connected to one's work, understanding expectations, sharing power and influence in the workplace, and related concepts are derived from instrumental theorists such as Frederick Taylor and his follower, Lillian Galbraith (Dagher et al., 2015). Authentic engagement is based on psychological conditions of being engaged at work (Kahn, 1990). "People occupy roles at work" (Kahn, 1990, p. 692). Prior to Kahn, little research was done as to what degree people are engaged in their roles at work. The idea of varying engagement was new. Kahn (1990) wrote in terms of personal engagement and personal disengagement, referring to behaviors "by which people bring in or leave out their personal selves during their work role performances (p. 694). Kahn drew upon psychologists

such as Freud, sociologists such as Goffman and Merton, and group theorists Bion, Slater and Smith and Berg (Crawford, et al., 2014). Kahn defined engagement in terms of physical behavior, cognitive behavior, and emotion (1990). Engagement behavior is formed by perceptions of themselves and their role in the workplace and varies based on these perceptions. The perceptions of meaning, safety, and availability drive the levels of engagement as they vary from day to day and minute to minute. Kahn conducted a grounded theory study in two settings, a West Indies children's camp and in a prestigious architecture firm in the Northeastern United States and included multiple levels of influence that affect a person's level of engagement or disengagement. Kahn defined engagement as "the harnessing of organizations members' selves to their work roles; in engagement people employ and express themselves physically, cognitively, and emotionally during role performances" (1990, p. 694). Importantly he also defined the opposite of engagement, or disengagement. "Personal disengagement is the uncoupling of selves from work roles; in disengagement people withdraw and defend themselves physically, cognitively, and emotionally during role performances" (Kahn, 1990, p. 694). Organization members unconsciously ask themselves three questions at work and then engage depending on the answers: "How meaningful is it for me to bring myself into this performance? How safe is it to do so? And how available am I to do so?" (Kahn, 1990, p. 703). One's engagement rises and falls depending on one's perception of "meaning, safety, and availability" (Kahn, 1990, p. 703). People feel a sense of meaningfulness when they feel like they are valuable to the team, if they are being useful, and if their efforts are worthwhile. Safety in Kahn's sense refers to the ability to "show and employ self without fear of negative consequences to self-image, status, or career (Kahn, 1990, p. 705). Availability refers to the sense of possessing

physical, emotional, and psychological resources necessary for immersing oneself in the role performances (Kahn, 1990, p. 705).

Engagement research began slowly in the 1990s with only a handful of studies completed by the year 2000. Kahn's work was the only empirical work on employee engagement until 2001 when Maslach et al., (2001) published their study on employee burnout (Schaufeli, 2014). Since 2000, however, some 1600 journal articles have been published with either employee engagement or work engagement in their titles (Schaufeli, 2014). Several edited volumes, special issues of academic journals, and a broad attention from business had added to employee engagement popularity (Crawford et al., 2014). Researchers and practitioners have asked what are the key drivers of employee engagement? Crawford et al. (2014) state that this main question has led to research exploring driving factors such as "job design, leadership, support from both supervisors and organizations as a whole, and human resource" (p. 73) or practices.

Schaufeli (2014) gives two reasons for this growth: the growing importance of human capital in business and the increased interest in positive psychological states by the scientific community. Schaufeli (2014) notes key features of change in the workplace from a "traditional to modern" (p. 16) workplace that includes the notions of a transition to a world of continuous change, teamwork, diversity, continuous learning more self-control and management from a more traditional workplace. The results from these changes allow for an engagement model that includes job satisfaction, organizational commitment, and discretionary effort (Schaufeli, 2014). Within the context of positive psychology and positive organizational behavior, employee engagement can be seen as the antithesis to employee burnout (Cole, Walter, Bedeian, & O'Boyle, 2012). Employee engagement focuses on positive psychological states rather than the negative state of burnout.

While there are more than 50 definitions of engagement in the literature (Marciano, 2010), the Conference Board convened a panel of 24 authorities in human resources and employee communication to discuss the definition of employee engagement in 2007. The panel agreed that a complete definition is difficult due to competing consulting companies in the field, each trying to develop a unique survey instrument for the marketplace (Gibbons, 2007). They did agree upon three factors common to employee engagement: cognitive commitment, emotional attachment, and the resulting behavioral outcomes. Some camps, they argue focus on employee's cognitive or mental connections to their work expressed as satisfaction or commitment (Gibbons, 2007). Others focus on emotions such as pride in the company or emotional attachment with co-workers. The third point of view focuses on behaviors. Demonstrated behavior, discretionary effort, and employee retention are central themes (Gibbons, 2007). Accommodating all three approaches, the conference board defines employee engagement as: "an emotional and intellectual connection that an employee has for his/her job, organization, manager, or co-workers that, in turn, influences him/her to apply additional discretionary effort to his/her work" (Gibbons, 2007, p. 3).

Gibbons (2007) writes that the Conference Board examined the existing literature and found eight drivers commonly found in the literature. They are trust and integrity, nature of the job, the employee's understanding of their individual performance and the team or company performance, career growth opportunities, pride in the company, the relationships with coworkers and team members, employee development, and importantly, the relationship the employee has with their immediate manager (Gibbons, 2007).

Schaufeli and Bakker (2001) conducted a qualitative study that describes the main foundations of employee engagement to be dedication, vigor, and absorption, similar to Khan

(1990). Maslach et al. (2001) provided an important empirical study and determined that employee engagement was a “positive antithesis to job burnout” and Macey and Schneider (2008) presented a framework for understanding various meaning so employee engagement and to establish a research agenda to improve the linkage between practitioners and quantitative research. They delineate between practitioner and research-driven definitions of engagement and separate the concept of motivation from employee engagement. Researchers and practitioners had not been precise in their definitions and meaning on employee engagement until Macy and Schneider (2008) proposed a model for “understanding the elements of employee engagement to include engagement as a trait, a state, and a behavior” (p. 6) illustrated in Figure 7.

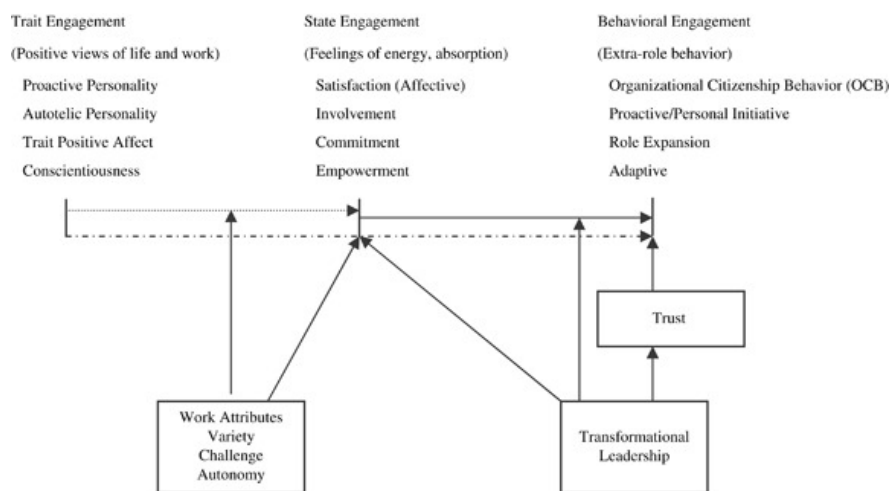


Figure 7. Framework for understanding elements of employee engagement. From Macey and Schneider (2008, p.6). Copyright Wiley Periodicals, Inc. Reprinted with permission.

Shuck and Wollard (2009) note the positive aspects of employee engagement. Engaged employees have linkages to profits, higher production, safety, health, and lower turnover rates (Shuck and Wollard, 2009). Shuck and Wollard (2009) surveyed 155 articles mentioning employee engagement and of those, eliminated 15 that were duplicates or only mentioned employee engagement in passing. Of the remaining 140 articles, 26 were empirical and were reviewed to determine the history of the construct of employee engagement. This was an

important step forward in mapping empirical research and to put forward a consistent definition. Shuck identified four approaches to defining engagement (Schaufeli, 2014). These four approaches are the needs satisfying approach, the burnout antithesis approach, the satisfaction engagement approach, and the multidimensional approach (Schaufeli 2014; Shuck, 2011).

The needs satisfying approach is from Kahn (1990) and is based on three psychological conditions being met. They are “meaningfulness, psychological safety, and availability” (Schaufeli, 2014, p. 24). Meaningfulness is described if the person felt worthwhile, useful, and valuable—did they make a difference at work. Were they not taken for granted? (Kahn, 1990, p. 704). Psychological safety refers to the way one can employ oneself without the “fear of negative consequences to self-image, status, or career” (Kahn, 1990, p. 708). When conditions “were unclear, inconsistent, unpredictable, or threatening, personal engagement was deemed too risky or unsafe” (Kahn, 1990, p. 708). Availability refers to the “sense of having the physical, emotional, or psychological resources to personally engage at a particular moment” (Kahn, 1990, p. 708). This can refer to physical energy, levels of emotional energy, or being “up for it.”

The Burnout Antithesis approach has its base in occupational health psychology. In this model, “engagement and job burnout are positive and negative endpoints on a single continuum” (Schaufeli, 2014, p. 18). Schaufeli (2014) describes how dimensions of engagement (energy, involvement, and efficacy) are direct opposites of the dimensions of burnout (exhaustion, cynicism, and lack of accomplishment).

The satisfaction-engagement approach stems from Harter et al. (2002) concepts of engagement relating to employee involvement and satisfaction. They took the Gallup Organizations’ notion of engagement as related to a persons’ involvement, satisfaction, and enthusiasm for work. The focus of this approach is the employees’ job satisfaction.

The multidimensional approach recognizes Saks' (2006) work who along with Kahn's recognition of role-performance, developed the idea of engagement of the employee within an organization, not solely of their job itself. Saks' was one of the first quantitative studies to measure employee engagement. Set within social exchange theory, Saks found that employees with a higher perceived higher organization support are "more likely to reciprocate" with greater levels of engagement in their job and in the organization (Saks, 2006, p. 613). Saks (2006) explains social exchange theory where both parties agree to and abide by the exchange rules, a more trusting and loyal relationship exists. It is a relationship based on mutual and favorable reciprocal exchanges (Saks, 2006).

Employee engagement and work engagement are frequently used as synonyms, however Schaufeli (2014) makes a distinction where work engagement focuses on the employee at work and the work they do (productivity, reduction turnover and so forth) employee engagement refers to their role in the overall organization (how they feel about their company, trust in the company and so on).

Engagement and motivation. Engagement is set in the concept of commitment (Marciano, 2010). The word engagement "comes from the Old French (en+gage) meaning to pledge oneself" (Marciano, 2010, p. 40). While there are similarities between engagement and motivation, engagement is intrinsic. Regardless of external factors, employees who are engaged demonstrate commitment, dedication, and loyalty to their workplace regardless of external, temporary circumstances (Marciano, 2010). Motivation is linked to extrinsic factors. When resources are scarce, with equipment failures, and time pressures, employees will lose motivation. Motivation only occurs during favorable conditions (Marciano, 2010). I liken motivation to hiring a taxi. The taxi drives you where you want to go, but only as long as

external factor (money) is applied. No money, no ride. “A high level of employee engagement buffers the impact of negative environmental factors on motivation” (Marciano, 2010, p. 40). In his 2010 book, Marciano refers to his research study conducted across 110 organizations in the United States and listed the most common descriptions of an engaged employee. They:

“Bring new ideas to work. Are passionate and enthusiastic about work. Take initiative. Actively seek to improve themselves. Consistently exceed goals and expectations. Are curious and interested; asks questions. Encourage and support team members. Are optimistic and positive. Overcome obstacles and stay focused on tasks. Are persistent. They are committed to the organization” (Marciano, 2010, p. 42).

Catlette and Hadden (2012) conducted a study on engagement and bottom-line financial results by collecting financial data: sales growth, earnings, productivity, and return to shareholders from six companies identified as having reputations of being good companies to work for and six companies that did not have the same reputation and analyzed 10 years’ worth of data. They found that the six better places to work consistently outperformed the other companies (Catlette & Hadden, 2012).

The numbers. The Gallop Organization has vast amount of data indicating that engagement numbers are low across multiple sectors in the United States. Gallup defines employee engagement as “involved in, enthusiastic about and committed to their work and workplace” (Gallup, 2017). The Gallup “State of the American Workplace” research report used data collected from 195,000 US employees in their daily tracking, from more than 31 million survey respondents, and from more than 1000 companies they advise. The Gallup metadata suggests that only 17% of American workers are actively engaged, 29% engaged, and 54% disengaged (Gallup, 2017). This indicated room for improvement (Marciano, 2010). Gallup

asks 12 questions and the results are illustrated in Table 3. This table indicates that with improvements in each area, companies could see positive results across the board. These results are potentially significant. But how?

Table 3.

State of the American Workplace (Gallup, 2017)

Question	Percentage agreement	If raised to xx%			
I know what is expected of me at work	60%	80%	↑ 7% profitability	↓ 20% accidents	↓ 14% turnover
I have the materials and equipment I need to do my work right	30%	60%	↑ 11% profitability	↓ 32% safety incidents	↑ 27% improvement in quality
At work, I have the opportunity to do what I do best every day	40%	80%	↑ 14% profitability	↓ 46% safety incidents	↑ 8% engagement score
In the last seven days, I have received recognition or praise for doing good work	30%	60%	↓ 10% shrinkage	↓ 27% absenteeism	↑ 24% improvement in quality
My supervisor, or someone at work, seems to care about me as a person	40%	80%	↑ 8% engagement score	↓ 41% absenteeism	↓ 32% safety incidents
There is someone at work who encourages my development.	30%	60%	↑ 11% profitability	↓ 28% absenteeism	↑ 6% engaged customers
At work, my opinions seem to count.	30%	60%	↓ 27% turnover	↑ 12% productivity	↓ 40% safety incidents
The mission or purpose of my company makes me feel my job is important.	40%	80%	↓ 41% absenteeism	↑ 33% improvement in quality	↓ 50% safety incidents
My associates or fellow employees are committed to doing good quality work.	30%	60%	↓ 29% absenteeism	↑ 11% productivity	↑ 6% engaged customers

I have a best friend at work.	20%	60%	↑ 7% engaged customers	↑ 12% profitability	↓ 36% safety incidents
In the last six months, someone at work has talked to me about my progress.	30%	60%	↓ 26% absenteeism	↑ 11% profitability	↓ 34% safety incidents
This last year, I have had opportunities at work to learn and grow.	40%	80%	↓ 44% absenteeism	↑ 16% profitability	↓ 41% safety incidents

Tower Perrins—ISR conducted surveys in 2006 of more than 664,000 employees from 50 companies worldwide (Macleod & Clarke, 2009). The surveys compared financial performance to employee engagement over a 12-month period (Macleod & Clarke, 2009). Significant for their study was a 52 percent difference in performance improvement over the study period among companies with high employee engagement and those with low levels of employee engagement (Macleod & Clarke, 2009). Gallup found in 2006 across 23,910 business units that employee turnover, inventory shrinkage, and accidents were consistent with low employee engagement scores ((Macleod & Clarke, 2009). Business units with higher employee engagement scores averaged much higher productivity, customer advocacy, and profitability (MacLeod & Clarke, 2009). The United Kingdom’s Secretary of State for Business commissioned a study in 2008 to take a deep dive into employee engagement and to report on its potential benefits for both organizations and individuals (MacLeod & Clarke, 2009). Some findings of the Macleod and Clarke study (2009) were fewer sick days taken among engaged employees, 2.69 vs 6.19 among disengaged employees and understanding of customer’s needs: 70 vs 17 percent (Macleod & Clarke, 2009). They found that engaged employees are 87% less inclined to leave their organization (Macleod & Clarke, 2009). An important finding was for innovation. It is not surprising that fifty-nine percent of engaged employees felt that their job

brings out the most creative ideas while only three percent of the disengaged employees felt the same (Macleod & Clarke, 2009).

So how do you create employee engagement? Workplace culture “sets the tone for employee engagement” (Lockwood, 2007, p. 4). Lockwood further argues that to create employee engagement, “organizations must provide connection, contribution, and credibility” to their employees (2007, p.4). The manager-employee relationship is the most important factors in commitment and that the manager/leader can take positive steps and actions that promote employee engagement. Lockwood (2007) argues that there are several leader characteristics that can lead to employee engagement. They are a leader shows a strong commitment to diversity. A leader accepts responsibility for their successes and failures. A leader demonstrates integrity in their words and actions. A leader helps find solutions to problems. A leader respects and cares for employees as individuals. A leader sets realistic expectations for performance. A leader demonstrates passion for success. And a leader defends direct reports (Lockwood, 2007, p. 4)

Vragel (2013) argued that employee engagement culture begins with the individual. “Engagement is commonly considered from an organization-wide perspective, it does not start as a group activity” (Vragel, 2013, p. 27). Vragel (2013) dismisses mass communications or surveys and focuses on efforts to create employee engagement and initiated at the individual level. He lists five initial actions needed to create employee engagement. They are to build trust, provide opportunity for reinforcement to form habits. To use the expertise the employees already have in their daily work. Result quickly in tangible actions that address issues and improve outcomes. The fifth is to start by listening not telling (Vragel, 2013).

Measuring employee engagement. There are several instruments used in research to measure employee engagement. May, Gibson, and Harter (2004) and Saks (2006) developed

instruments based on Kahn's (1990) definition of employee engagement (Jeung, 2011). May et al. (2004) demonstrated a significant relationship between Kahn's concept of meaningfulness, safety, and availability to predictors of engagement: job enrichment, work-role fit, and co-worker and supervisor relations. Saks' instrument is a 12-item survey that intended to measure the "psychological presence of self in one's job and organization" (Saks, 2006). Saks' instrument was also developed to examine the antecedents and outcome variables of engagement (2006). Neither May nor Saks has received widespread use (Jeung, 2011). More popular instruments include the Utrecht Work Engagement Scale and is the most widely used instrument. Also popular is the Gallup Q12 also known as the Gallup Workplace Audit. The Q12 consists of 12 items that have been shown to have high reliability and validity.

Authentic leadership and employee engagement. Leadership is an important component of inspiring employees and creating employee engagement. A leader's authenticity is positively related to employee trust and is related to the leader's authentic concern, gaining approval, and adopting good communication skills that foster engagement (Hsieh & Wang, 2015). In Hsieh and Wang's (2015) study, they measured employee's perceptions of authentic leadership. Although both Saks and Gruman's (2014) model of employee engagement and Macey and Schneider's (2008) model both indicate that transformational leadership, this study includes authentic leadership as an extension of transformational leadership due to its emphasis on ethics and trust.

Rego, Lopes, and Nascimento (2016) studied the relationship between authentic leadership and organizational commitment, analyzing the role of positive psychological capital in the relationship between authentic leadership and organizational commitment. They found empirically that authentic leadership is a predictor of organizational commitment in three out of

four of Avolio et al.'s (2004) positive psychological capabilities (hope, optimism, self-effectiveness, but not resilience). They found that authentic leadership “positively influences” the psychological capital of followers (Rego et al., 2016, p. 144).

Criticisms of employee engagement. Research on employee engagement has accelerated in the last 10 years. Some criticism suggests that not enough emphasis has been placed on fundamentals- “meaning, measurement, and theory” (Saks & Gruman, 2014, p. 178). There is a lack of consensus on meaning, an agreement of useful measures and measuring instruments and methods, and well-developed theories (Saks & Gruman, 2014). Part of this may be due to the number of commercial programs offered to business to improve their employee engagement and the competition to do so does not lend itself well to agreement on foundational matters. Ludwig and Frazier (2012) criticize employee engagement due to its lack of consensus in the literature and propose an alternate view that they call Organizational Behavior Management that concerns improving behavior without attempting to modify or change the underlying psychology. Cole et al. (2012) found that the theoretical construct of engagement is not new, but rather a polar opposite of employee burnout and call for a more precise definition of the construct and more empirical research.

This section has reviewed some of the major literature and tenets of employee engagement. From the researchers such as Kahn, Schaufeli, and Shuck, to the practitioners such as Marciano, the theoretical construct, the definitions, and supporting employee engagement as a useful concept to improve business practices and bottom line productivity is advancing as a body of knowledge. Rooted in positive organizational psychology, employee engagement was slow to start throughout the 1990s but has boomed in both qualitative and quantitative research since the year 2000. Several large-scale studies have been conducted, especially from the Gallup

organization that have demonstrated the validity of employee engagement as a useful construct. Shuck identified four approaches to defining engagement (Schaufeli, 2014; Shuck & Herd, 2012). These four approaches are the needs satisfying approach, the burnout antithesis approach, the satisfaction engagement approach, and the multidimensional approach (Schaufeli 2014; Shuck & Herd, 2012). These frameworks provide a useful structure for analyzing the pertinent literature. This review now turns to trust to explore the linkage of trust to authentic leadership to employee engagement.

Trust

This study seeks to identify a correlation between authentic leadership and employee engagement and explores the factor of trust as a moderating influence. Trust is the currency of positive leadership or as Covey puts it “Trust is the one thing that changes everything” (Covey, & Merrill, 2006, p. 1). As mentioned above, it is necessary to explore the concept of trust as a necessary component to see how authentic leaders create trust to provide high levels of employee engagement. Higher levels of trust are related to leader effectiveness and higher levels of organizational citizenship behavior, morale, and performance (Hasel & Grover, 2017). Hasel and Grover (2017) maintain that although the literature supports the idea that trusting leadership is important, research and theory that explains the underlying mechanisms linking trust, leadership, and outcomes (engagement) is scarce. Hasel and Grover define trust as a “willingness to be vulnerable to another party with the understanding that the other party will look out for one’s interests” (2017, p. 850). This notion of accepting vulnerability is common to other definitions put forth by Rousseau et al. (1998); Dirks and Ferrin (2001, 2002); and Agote, Aramburu, and Lines (2016). Rousseau et al. wrote that as of 1998 there was no “universally accepted scholarly definition of trust” (1998, p. 394).

It is useful to break trust down into conceptual trust types. Kramer (1999) outlined the existing literature of trust at that time. He wrote that despite the various definitions of trust in the literature, that “trust is fundamentally a psychological state” (Kramer, 1999, p. 571). This psychological state “entails a state of perceived vulnerability or risk that is derived from an individuals’ uncertainty regarding the motives, intentions, and prospective actions of others on whom they depend” (Kramer, 1999, p. 571). The psychological tradition seeks to examine the interpersonal states that are associated with trust while the behavioral tradition views trust as a rational choice (Lewicki, Tomlinson, & Gillespie, 2016). Kramer (1999) also references scholars who maintain trust as a rational choice. The rational choice perspective, where trust is seen as a choice among calculated, rational, efficient choices was predominant among organizational social scientists of his time (Kramer, 1999). Kramer also referenced a relational model of trust. In this framework, trust is not only a calculated risk but a “social orientation toward other people and toward society as a whole” (Kramer, 1999, p 573). Kramer (1999) recognized that there was a divergence in the literature at that time between the two models and argued the merits of a combined model where the social contact is interwoven with the rational choice model. Both are necessary, according to Kramer (1999).

Lewicki and Wiethoff (2000) identified two conceptual models of trust. They are calculus-based and identification-based trust (Lewicki & Wiethoff, 2000). Calculus-based trust is “an ongoing, market-oriented, economic calculation whose value is determined by the outcomes resulting from creating and sustaining the relationship relative to the costs of maintain or severing” it while identification-based trust is the “identification of other’s desires and intentions” (Lewicki & Wiethoff, 2000, p. 88). Hasel and Grover (2017) adopted Lewicki and Bunker’s (1996) three trust-type model that may prove very useful in understanding the

relationship between authentic leadership, employee engagement, and trust. They discuss calculus-based trust, knowledge-based trust and identification-based trust. Calculus based trust is a type of trust that involves a “calculation of cost and benefits of entering into a relationship” (Hasel & Grover, 2017, p. 850). This type of trust allows people to begin to trust someone. It is trust in the early stages of a relationship. Results are limited, and minimal work effort is made through compliance (Hasel & Grover, 2017). This definition follows Rousseau et al.’s (1998) definition of “a psychological state compromising the intention to accept vulnerability based on the positive intentions or behavior of another” (p. 395). The second type of trust is knowledge-based trust. Knowledge-based trust depends on the leader’s predictability (Hasel and Grover, 2017). As leaders develop relationships with followers, followers come to understand their leader’s behavior (Hasel and Grover, 2017). The third type of trust that Hasel and Grover (2017) identify is identification-based trust. Identification-based trust involves a “mutual understanding and acceptance of each other’s values” (Hasel and Grover, 2017, p. 851). This is the most advanced form of trust and occurs infrequently. Hasel and Grover distinguish between two general categories of leadership; role oriented and person-oriented leadership (2017). Role-oriented leadership is a rational exchange in the form of performance rewards and person-oriented relationships are noted leader behaviors concerned with the follower’s well-being, development and growth. Authentic leadership is a person-oriented model under this rubric although it contains elements of role-oriented leadership. Brower, Lester, Korsgaard, and Dineen (2009) posited that much of the trust literature had focused on subordinates’ trust in their leaders, they examined the effect of a leader’s trust in subordinates in terms of job performance, organizational citizenship behavior, and intention to quit. They found that leaders and subordinates are “partners in social exchange” and if either party has a lack of trust, “it is

difficult to maximize the potential outcomes evolving from the relationship” (Brower et al., 2009, p. 343). Leaders who trust their employees gain in productivity, teamwork, and retention (Brower et al., 2009). McEvily and Tortoriello (2011) put forth that trust theory comes from two frames: economic and from the social sciences.

Burke, Sims, Lazzara, and Salas (2007) found that the existing literature on the mechanisms of trust in leadership was lacking and proposed a model that focuses on competence, benevolence, and integrity. They are somewhat critical of traditional trust surveys, arguing that they only reflect a “snapshot” of trust at the time of the data collection, where a detailed examination of the conditions and dynamic nature of trust should be emphasized. They provide a multi-level framework of analysis to better understand the mechanisms of trust in leadership. This model examines the importance of leader (or trustee) characteristics. They are “able”— they set direction, they enable structures for organizational competence, they set and enforce norms of behavior and functioning of the organization, group, or team. They are benevolent in that they care for their subordinates. “They are accountable, fair, and their values are in line with their subordinates” and “carry a high level of values congruence” (Burke et al., p. 618). These leader characteristics combine with individual-level factors that include the subordinate (trustor) propensity to trust, their perceived risk, and other factors of team and organization to predict trust in their leadership. This trust provides proximal and distal outcomes. The proximal outcomes are improved communication, enhanced organizational citizenship behaviors (discretionary effort), and improved learning. The distal outcomes are improved team performance, reduced employee turnover, adaptation, and trust (Burke et al., 2007). An illustration of their model is shown in Figure 8.

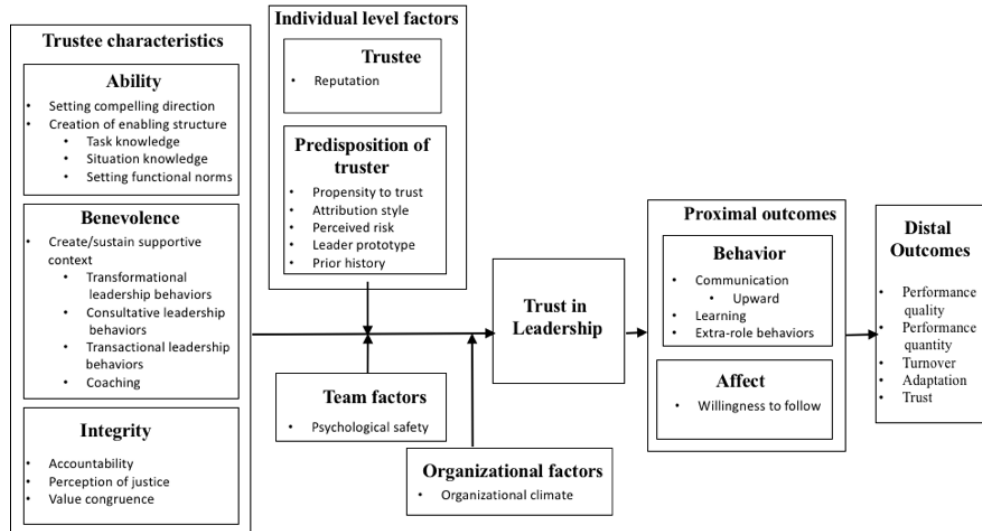


Figure 8. Integrated multi-level framework for understanding trust in leadership from Burke et al. (2007, p. 613). Copyright Elsevier, Inc. Used with permission.

Along the lines of the Burke et al., (2007) criticism of the “snapshot” analysis of trust, Lewicki et al. (2016) discuss trust as it develops and changes over time. They examine four models of trust. One behavioral model that focuses on rational choice models and three psychological approaches. For each they ask three questions: “How is trust defined and how is it measured. At what level does trust begin? And what causes trust to change over time?” (Burke, et al., 2006).

The categories of trust depicted in Figure 9 summarize the major viewpoint on trust. The first category, deterrence-based trust (Rousseau et al., 1998) infers no positive expectation, but only the threat punishment or sanctions guarantees compliance. The second category, the calculus-based trust model (Lewicki & Bunker, 1996) is the economics model, based on a calculated exchange of costs and benefits. Suspicion remains in this model and is considered in the cost-benefit analysis. The third, is knowledge-based (Lewicki & Bunker, 1996) is where suspicion is replaced by “confident knowledge” (p. 563) of the trustee’s motives, abilities, and reliability. Rousseau et al. (1998) described the relational-based trust that is more subjective- it

develops from the quality of the relationship and is a strong degree of trust. The final, and most complete and highest form of trust is described by Lewicki and Bunker (1996). The person who trusts and the person who is trusted share a common identity and values. They have complete confidence in each other.

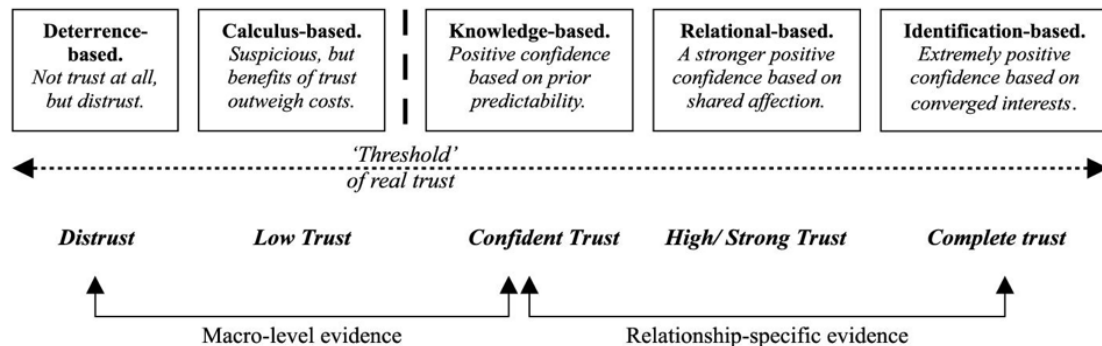


Figure 9. Forms and degrees of trust from Lewicki and Bunker (1996, p. 117). Copyright Sage Publications. Reprinted with permission.

Trust and authentic leadership. Wang and Hsieh (2013) investigated the relationship of authentic leadership on employment through trust in Taiwan and found in an empirical analysis that a leader's authenticity, and specifically the consistency between a leader's words and actions is positively related to employee trust. Chughtai, Byrne, and Flood (2015) established that ethical leadership is positively related to trust in a leader. In their study, ethical leadership is similar and overlaps the transformational and authentic leadership models and they used a calculus-based model of trust for their definition. Dirks and Ferrin (2002) conducted a meta-analysis analyzing leader actions and practices with relationships and a leader's character to determine behavioral and performance outcomes. Their framework is illustrated in Figure 10.

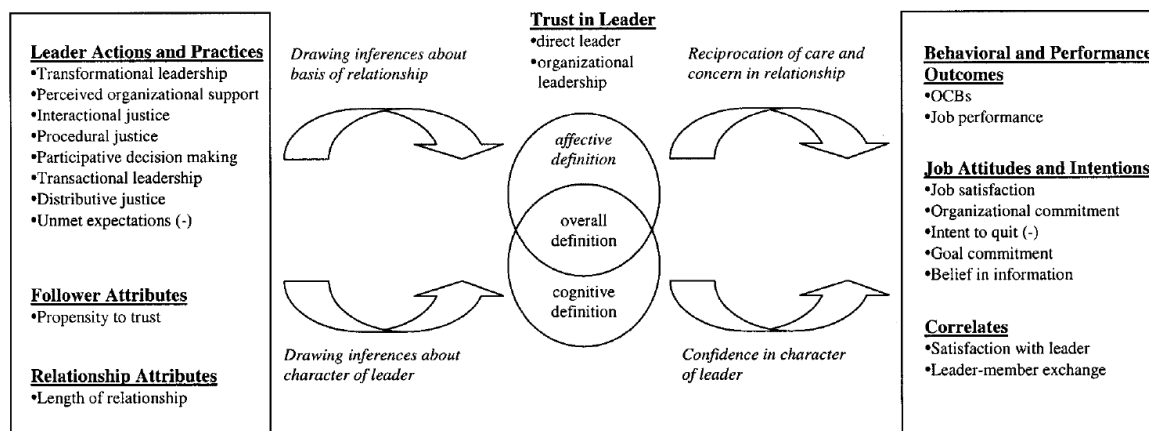


Figure 10. Meta-analysis of leader actions and relationships from Dirks and Ferrin (1996, p. 613). Copyright American Psychological Association. Reprinted with permission.

Hassan and Ahmed (2011) examined the relationship between authentic leaders and levels of trust and work engagement in subordinates in Malaysia. They found that authentic leadership promoted subordinate trust in the leader, authentic leadership contributed to subordinate's work engagement, the subordinate's trust in their leader facilitated their work engagement, and interpersonal trust served a mediating factor between authentic leadership and work engagement (Hassan & Ahmed, 2011, p. 1040).

Hasel and Grover (2017) argue that trust is a fundamental component of leadership. With a base understanding that trust is important to leadership, they analyze they sought to analyze and explore how leadership affects trust and to what end. They proposed a model that considered person and role-oriented behaviors in a leader that then influences calculus, knowledge, or identification-based trust that then affects various outcomes. Their model is a "mediation model" (p. 850) that argues leader behaviors bring trust that in turn bring positive outcomes (Hasel & Grover, 2017). In their study, they describe role-based leadership behaviors include "contingent rewards, feedback, and goal setting" (p. 850) with person- based behaviors that include "participation, support, role-modeling, and empathy" (p. 850). They included

several leadership frameworks to include authentic leadership and adopted Lewicki and Bunkers (1996) categorization of trust that includes knowledge-based, identification-based, and calculus-based trust. Through their study, they were able to explain how different leadership behaviors influence trust in different ways. The person-based behaviors were shown to contribute to knowledge and identification-based trust and role-based behaviors were more likely to bring about calculus-based trust (Hasel & Grover, 2017).

Robbins (2016) examines trust and proposed a three-part model and definition of trust, understanding that there is no one definition of trust. Robins described and proposed that trust can be analyzed along three categories, that is “how to trust, whom to trust, and what to trust” (2016, p. 973). The first dimension, how to trust, looks at the psychological foundations of trust. The second category, who to trust can be thought of in a particular manner- specific persons to trust, or general, groups or categories of persons to trust. The third category of what to trust begins at the most basic exchange element of trust to the most complicated trust based on common values and identifications. Wong and Cummings (2009) identified trust as a key element of a healthy work environment. Because of authentic leaderships’ emphasis on certain values, such as honesty, integrity and high ethical standards in the relationship of the leaders and followers, Wong and Cummings (2009) suggested that trust in leaders is necessary for staff to be able to voice their concerns and offer suggestions for improvements in their workplaces that we have seen as key elements of employee engagement well. In their study, they tested a model linking authentic leadership behaviors with trust in management and found that authentic leadership is the “core of effective leadership needed to build trust” (Wong & Cummings, 2009, p. 6).

Trust and employee engagement. Bird, Wang, Watson, & Murray (2009) conducted a study in an education setting that found a positive correlation between authentic leadership among school leaders and high trust levels and engagement among teachers. They used the Avolio et al.'s (2004) definition for authentic leadership, and the calculus-based definition of trust with the Kahn approach to engagement. Zak (2017) found in his innovative work on neuroscience and trust that by measuring levels of hormones secreted in the brain under varying circumstances, was able to demonstrate the positive effect of trust on employee engagement.

There is a positive relationship between authentic leadership, employee engagement, and trust (Hsieh & Wang, 2015). The literature suggests that trust plays a moderating role between the leaders and followers. When a leader fails, the trust the followers have in the leader moderates the impact of the failure. Likewise, when the follower fails, the trust the leaders has out in their follower, moderates the impact of their failure also. The consistency between the words and actions of leaders is positively related to employee's trust (Hsieh & Wang, 2015). Perry and Mankin (2004) examined employee trust across levels of management to determine where employees trusted- in the organization, in their supervisor, or in a greater sense, management. They found that different levels of trust exist at different levels of management, a theme this study will examine also. Perry and Mankin (2004) found the most important impact on the trust of an employee was the manager's credibility, as we saw above is the consistency between one's words and actions (Hsieh & Wang, 2015).

Neves and Caetano (2009) showed that trust in the supervisor is the mechanism connecting employees' reactions to change and work outcomes. Their study involved 221 companies where major organizational change had taken place. They found that trust in the supervisor was key to the employee's commitment to change and three outcomes. The outcomes

included indicators of organizational performance: perceived performance, turnover intentions, and organizational citizenship behaviors (Neves & Caetano, 2009).

Covey and Merrill (2006) structures trust in four levels or waves. The first is self-trust or the principle of credibility. The second is relationship or the principle of behavior. The third wave is organizational trust, the fourth market trust, and the fifth societal trust. Covey explains what he terms “The Speed of Trust” (2006). As trust increases, the speed of transaction increase and the costs decrease. As trust decreases, speed decreases and costs increase. This pertains to everything. When individual leaders trust themselves, they grow and develop into more effective leaders more quickly. When workers trust their managers, business units become more effective. When society trusts its institutions and their leaders, the frequency of exchange improves, and the economy grows. An important factor with Covey (2006) is that trust can be restored.

While McEvily and Tortoriello (2011) put forth that trust theory comes from two frames: economic and from the social sciences, there is a small but growing body of literature based on neuroscience. Led by neuro-economist Paul Zak, Zak, Kurzban, and Matzner (2004) conducted experiments analyzing the hormone Oxytocin and its increased levels associated with trust behavior. This is based on research showing how the brain responds to social interactions. Zak et al. (2004), found that recognizing trust is an essential element in building social relations and that as trust behavior is exhibited, the hormone Oxytocin is secreted in the brain, and trust behavior increases on the receiver’s part. Zak et al.’s (2017) premise is that trust encourages trust in others. As one person places trust in another, then the person receiving trust then is “hard-wired” to exhibit trust in return (Zak, 2017). Zak et al. (2017) argue that cultures of trust must be created in organizations in order that they flourish. Trust fundamentally improves

organizational performance by “providing the foundation for organizational teamwork and intrinsic motivation” (Zak, 2017, p. 7). Zak (2017) writes that employees in organizations with high trust levels are more productive, have more energy at work, and stay at the organization longer (lower turnover). Employees in high-trust organizations suffer from less stress, are more effective in a collaborate environment, are healthier and happier, are paid more, and generate more profit than employees in low-trust companies (Zak et al., 2004; Zak, 2017).

Unionization and trust. The setting for this study is a large package delivery and logistics services company. The hourly employees are unionized. Helliwell and Huang (2011) demonstrated empirically that trust in management differs in union and non-union workers in the United States and Canada. Union workers showed lower levels of trust in management than non-union workers in their study. Not surprisingly, employees trust in management is higher in areas where management supports the unions and lower in areas where management does not support union membership (Bryson, 2001). This is not surprising since relationships are often set in terms of ‘us’ versus “them.” There is more research on union membership and labor relations in general in Europe and the UK and scarce research in the United States.

Measuring trust. McEvily and Tortoriello (2011) reviewed 171 academic papers with 129 unique measures of trust. More than half of the measures they reviewed (77 of 129) were unique rather than newer versions of older instruments. While research on trust has expanded in recent years in scope and has made important theoretical advances, research as a whole lacks coherence and is not well integrated (McEvily & Tortotiello, 2011). Worse still are methods to measure the role of trust in organizations. Dietz and Den Hartog (2006) outlined four aspects of trust than can group measurements in to a coherent fashion. They are the “different forms trust can take, the trust content, the sources of evidence informing it, and the identity of the referent

(the person being trusted)” (p. 558). Trust can be a “belief, a decision, and an action” (Dietz & Den Hartog, 2006, p. 558). In this case, one must believe the other is trustworthy, then decide to place their trust in the other, to actually trust them, and then take action based on that trust or “follow through on their decision by engaging in any of the trust-informed risk-taking behaviors” (Dietz & Den Hartog, 2006, p. 559). Glaeser, Laibson, Scheinkman, and Soutter (2000) found that trust and trustworthiness vary according to education level, age, and ethnic group. Well educated and wealthier persons indicated that they are more likely to trust than those with lower education levels.

Cummings and Bromiley (1996) proposed a multidimensional definition of trust that includes a belief that individual and groups make “good-faith” efforts to behave in accordance with any commitments, that individual or groups are honest in their negotiations that preceded those commitments, and that individuals and groups do not take advantage of another even when the opportunity arises (p. 304). They developed the Organizational Trust Index that will serve as the basis for the trust interviews conducted in this study.

Criticism of trust. The three frames of trust reviewed here, from the economic and from the social sciences and now from the biological sciences, provide even more room for discussion and debate. While there are many clear definitions and concepts of trust in the literature, there is not a clear agreement among scholars on one universal definition of description.

Summary

This chapter has reviewed the major literature and theory of authentic leadership, employee engagement, and trust in the workplace. Set within a framework of positive organizational behavior, the background of concepts and literature will provide a useful base of knowledge as this study progresses. This study understands the authentic leader as one who

knows oneself and is able to behave in accordance with one's values, understanding of oneself and communicate their "self" to followers who then "experience the leader as authentic" (Harter, 2002, Ladkin & Taylor, 2010, p. 65). Major researchers such as Avolio (2004), Luthans and Avolio (2003), Walumba et al. (2008) have contributed greatly to the field of knowledge. This chapter then explored the employee engagement literature. Employee engagement in the workplace was first introduced by Kahn in 1990 and is part of the larger, positive psychology movement (Jeung, 2011). The concept of employee engagement is significant because engaged employees have consistently shown to be more productive, profitable, safer, healthier, and less likely to leave their employer (Fleming & Asplund, 2007). Trust is a necessary factor to create employee engagement (Vragel, 2013). Using Hasel and Grover's (2017) notion of trust as based on the values of the leader's values, a shared identification, we can proceed to develop a research method to investigate the relationship of these frameworks in the setting chosen. The literature shows that these concepts of authentic leadership, employee engagement, and trust are interrelated, interdependent, and have been studied in many settings. With a better understanding of these concepts, we were ready to develop and discuss the methods for this study.

Chapter 3: Methods

Introduction

This chapter outlines the research methods used for this mixed methods study. This chapter restates the purpose of the study, the research question, and provides an overview of the chapter content and organization. This chapter presents the methodology and rationale for the study to include the setting, the population and sampling procedures, human subject considerations, and the forms of data collection. Finally, this chapter presents thoughts on data validity, and ways to analyze the data.

Restatement of study purpose. The purpose of this mixed methods study is to examine the correlation, if any, between authentic leadership behaviors demonstrated by management and employee engagement levels reported by unionized hourly workers in a major logistics service company. In order to do this, this study analyzes and compares the results of the Authentic Leadership Inventory and the Employee Engagement Survey and conducts interviews within a business division to examine attitudes on trust from a division a manager, a business center manager, a preload manager, full-time and part-time supervisors to delivery drivers and package handlers.

Restatement of research questions. The research questions for this study are:

Q1: What is the relationship, if any, between authentic leadership among management and employee engagement among unionized hourly employees?

Q2: In relation to the literature in what ways do the qualitative interviews contribute to a more comprehensive understanding of the relationship of authentic leadership and employee engagement?

The hypotheses for Question 1 are:

Null Hypothesis (H0): There is a positive correlation between the scores on the authentic leadership inventory and the employee engagement survey.

Alternate Hypothesis (H1): There is a negative correlation between the scores on the authentic leadership inventory and the employee engagement survey.

Alternate Hypothesis (H2): There is no correlation between the scores on the authentic leadership inventory and the employee engagement survey.

The hypotheses for Question 2 are:

Null hypothesis (H0): There is a positive association of trust in the interviews.

Alternate Hypothesis (H1): There is a negative association of trust in the interviews.

Alternate Hypothesis (H2): There is no association of trust in the interviews.

Overview of chapter content and organization. The study was written in five chapters. The first chapter reviewed the background of authentic leadership, employee engagement, and trust. This included the importance of the issue as related to the business success in a dynamic and evolving market. The theoretical framework used for the basis for the study was also introduced. Chapter two provided a review of the scholarly literature that was pertinent to the study. The literature review was broken down into three main areas of concern: Research conducted on authentic leadership, employee engagement, and trust. Chapter three presents the research design and methodology. In this chapter, the research questions and the proposed methodology to answer those questions are presented. This includes discussions on human subject considerations, instrumentation, and data collection. Chapter four presents the analysis of the research and chapter five presents conclusions and areas for further research and study.

Research Methodology and Rationale

This mixed methods study combines the quantitative analysis using two survey instruments to examine any correlational relationship and using qualitative methods using structured interviews asking questions to fifteen participants about trust in the relationships with their co-workers. The mixed method study is a convergent parallel mixed method design, as described by Creswell (2014) and illustrated in Figure 11. In a convergent parallel mixed method study, the researcher collects both quantitative and qualitative data, analyzes them separately, and then compares the results to “confirm or disconfirm each other” (Creswell, 2014, p. 219).

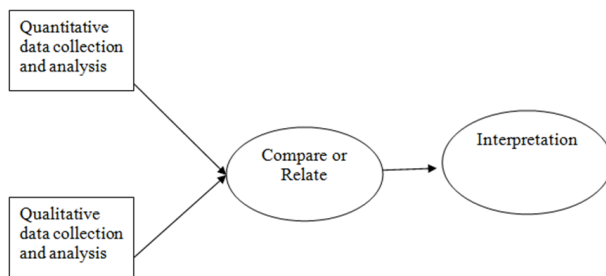


Figure 11. Convergent parallel mixed methods study from research design from Creswell (2014, p. 220). Copyright 2014 by Sage. Reprinted with permission.

In the quantitative section, the independent variable is the authentic leadership measure and the dependent variable is the employee engagement measure. While there is not causation expected between the two variables, this study is designed to determine whether there is a correlation between the two. The qualitative part of the study is designed using phenomenological research methods. A phenomenological study describes “the common meaning for several individuals of their lived experiences of a concept or phenomenon”—trust in this case (Creswell, 2013, p. 76). The phenomenological study then describes what the participants experienced and how they experienced it (Creswell, 2013). The sampling strategy used for the study takes into consideration Creswell’s (2013) three criteria for purposeful

sampling. They are how decisions are made for selection criteria of participants for the study, the specific sampling strategy, and the sample size to be used. The framework for participant participation calls for a representative cross-section of the members of a business unit, for the division manager down to entry-level positions (package-handlers). The sampling strategy used for the study took into consideration Creswell's (2013) three criteria for purposeful sampling. They are how decisions are made for selection criteria of participants for the study, the specific sampling strategy, and the sample size to be used. The framework for participant participation calls for a representative cross-section of the members of a business unit, for the division manager to entry-level positions (package-handlers).

Trustworthiness of Study Design

The study design can be easily replicated, and results compared across many different populations, regardless of industry. The survey instruments are deemed valid and reliable. There are several methods to analyze the data derived from this study and many populations that could be considered. The qualitative portion of the study relies on a well-known survey instrument, also deemed valid and reliable, and includes perspective on researcher bias, efforts to ensure participant anonymity, confidentiality, and accurate coding of responses to interview questions.

Setting

The setting of the study was selected to enable access to study subjects and to gain permission for the study (Creswell, 2013). The professional setting for this study was a very familiar one. The researcher has worked both as an hourly worker (package car driver) for this company and now is employed as a full-time management supervisor in the Industrial Engineering department of the same district where the study takes place. The setting, while familiar, may also present challenges in bias. The researcher must be cognizant of "being too

comfortable.” The familiarity and current working position allow for an understanding of leadership issues within the organization and allows for familiarity in navigating the complex working environment and facilitated rapport-building with participants.

Population, Sample and Sampling Procedures

The two populations for this sample were the salaried management employees and hourly union employees of the district of this major logistics company. The management group consisted of 3090 individuals. The union employee group included 17,910 individuals. The interviews focused on a more limited group of management and employees providing a representative sample of experience and level of responsibility in the company. The sampling technique is more a convenience sampling due to ease of access and clarity of relationship within the business unit. The framework for participant participation calls for a representative cross-section of the members of a business unit, from the division manager down to entry-level positions (package-handlers). Persons were selected for interviews based upon their position (management) and randomly among the hourly employees in order to get a representative sample with a single business division “chain of command” as indicated in Figure 12. The researcher provided a cover letter to each participant explaining the nature of the research and how their participation would contribute to the study. The cover letter explained that their responses will remain confidential and protected (see Appendix A, Cover Letter).

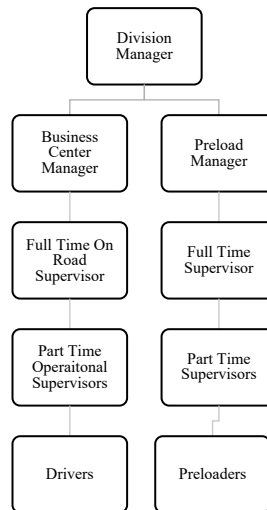


Figure 12. Interviewee relationships.

“A sample is selected for study is intended to represent a population” (Martin and Bridgmon, 2012, p. 54) and random sampling is the “best means to reduce sampling error (Martin & Bridgmon, 2012, p. 56). The quantitative part of this study used a probabilistic random sampling approach. There is a definite list of management and union employees in the population. Random sampling assures that everyone in the sampling population has an equal probability of being selected. This allows the best opportunity for the selected sample the ability to generalize to a population (Creswell, 2014, p. 158). Following Fowler (2009), this study will determine three aspects: margin of error, confidence interval, and response rate.

In this study, the confidence interval is 5% with the confidence level at 95%. With a population of 3090 for the authentic leadership survey, a sample of 342 is required. For the employee engagement survey, with a population of 17,910, a sample of 376 is required. These numbers were determined using a sample size calculator (Survey Systems, n.d.).

Human Subject Considerations

As with other quantitative, human science studies, researchers are guided by ethics principles on research the human participants (Moustakas, 1994). “In accordance with Federal

Guidelines all research involving human research must consider how subjects are being protected from harm (Moustakas, 1994, p.10). The primary goal of Pepperdine University's Institutional Review Board (IRB) is "to protect the welfare and dignity of human subjects" and the secondary purpose is to "assist investigators in conducting ethical research that complies with applicable regulations" (Pepperdine University, 2015). All interactions with human subjects were in accordance with Pepperdine University Graduate School of Education and Psychology policy and procedures.

This study involved delivering two survey instruments. Each participant signed a consent form and responses are kept confidential. The district human resources office sent the surveys to participants. At no time did the researcher know the names or any other identifying information of the survey participants. Number identifiers instead of names have been used throughout the study. Names were not used in the study.

For the series of interviews each participant understood that there would be no negative consequences if they were to choose to either not participate or to terminate the interview.

Instrumentation

This study used two survey instruments as stated above. The first survey instrument was the Authentic Leadership Instrument or ALI as a measure of authentic leadership among management. The second instrument was the company's annual Employee Engagement Survey (EES) as a measure of employee engagement among hourly workers. A separate analysis was conducted for the EES among management to correlate scores with the management's ALI.

The ALI was developed by Neider and Schriesheim (2011) and was offered as an improvement over the better known Authentic Leadership Questionnaire developed by Walumbwa, Peterson, Avolio, Wernsing, and Gardner (2008) and is a 16-item scale that measure authentic

leadership based on four capacities: self-awareness, relational transparency, balanced processing, and internalized moral perspective. Neider and Schriesheim (2011) adopted the four factors from Walumba et al. (2008, p. 95) and the four factors are described as follows: awareness refers to a respondent “demonstrating an understanding of how one derives and makes meaning of the world and how meaning -making process impacts the way one view himself or herself over time” (Neider & Schriesheim, 2011, p. 1147). Relational transparency refers to “how one presents oneself to others” (Neider & Schriesheim, 2011, p. 1147). This behavior promotes trust (Neider & Schriesheim, 2011). Balanced processing shows that they “objectively analyze all relevant data before coming to a decision. They solicit views that challenge their deeply held positions” (Neider & Schriesheim (2011, p. 1147). Finally, internalized moral perspective refers to “an internalized and integrated form of self-regulation. The sort of self-regulation is guided by internal moral standards and values versus group, organizational, and societal pressures, and it results in expressed decision making and behavior that is consistent with these internalized values” (Neider & Schriesheim (2011, p. 1147).

The questionnaire was fashioned to a degree from Authentic Leadership Questionnaire (ALQ) developed by Walumba et al., (2008; Neider and Schriesheim (2011). Respondents read each statement and rate it using a seven point Likert scale by selecting the appropriate response (1= strongly disagree, 2=disagree, 3=neither agree nor disagree, 4=agree, or 5=strongly agree). The authors state that all four scales of the questionnaire were found to have satisfactory internal consistency (Neider and Schriesheim, 2011). The overall score determines the level of authentic leadership they possess; the higher the score, the higher the authentic leadership. The Authentic Leadership Questionnaire (ALQ) has 12 questions and was not chosen for this study due to questions about its content validity and commercial availability (Neider and Schriesheim, 2011).

The ALI has acceptable internal consistency reliabilities. The lowest coefficient alpha was .74 and the highest was .85 as calculated by the authors (Neider & Schriesheim, 2011). The ALI questions are listed in Appendix B.

The second survey instrument was the Employee Engagement Survey. The company has conducted a company-wide employee engagement survey annually for the last several years and has granted the researcher permission and access to the district's questions and results for 2017 for the entire population. Complete demographic data was made available along with complete survey results. Sample Employee Engagement Survey questions are listed in Appendix C. They are similar in nature to other well-known and tested employee engagement surveys, such as the Gallup Q12 survey or the Utrecht Work Engagement Scales that have demonstrated and measured acceptable validity and reliability.

The Organizational Trust Index served as the basis for interview questions and discussion for the 15 interview subjects only. The index is a 12-item scale measured on a Likert scale. The oral interviews were structured for 30 minutes each. The first few minutes were spent explaining the nature of the research and how each interviewee's answers would be protected. The researcher reviewed the respondent's answers on the 12 items briefly and used open-ended questions to invoke responses from the interviewee. The interviews were voice recorded only to preserve the identity of the participants. The questions are presented in Appendix D.

Validity and Reliability

Validity in quantitative research is "whether or not one can draw meaningful and useful inferences from scores on the instruments" (Creswell, 2014, p. 160). All the internal reliabilities were satisfactory for each of the scales as well as the total combined scale (Neider & Schriesheim, 2011). Reliability is a measure of how consistent and stable an instrument is over

time (Creswell, 2014). Although it is understood that it is impossible to calculate reliability exactly, we can use different methods to develop a good estimate of reliability in a study. Neider and Schriesheim (2011) calculated the Cronbach Alpha measure of internal consistency. They found that the Authentic Leadership Inventory has a .75 or above and is deemed to be acceptable. The raw coefficient for each of the total score for these types of instruments should be above the level of .70 to demonstrate a higher level of validity (Trobias, 2008). The instrument has a high degree of internal consistency and can be said to be reliable.

Data Collection Procedures

The Authentic Leadership Inventory was presented to the North Atlantic District President and then the district human resources manager sent it out to all participants by means of an electronic text message with a link to a Survey Monkey survey website. Confidentiality and anonymity was maintained. Basic demographic data was attached. The human resources manager then provided complete results from the 2017 employee engagement survey. The employee engagement survey is administered annually to more than 330,000 employees and a comparison of results can be made from the North Atlantic District (site of this study) to nationwide results. The trust interview subjects were selected randomly from among the 16 package divisions in the district and once the division was selected, the subjects within the division were selected based on sample requirements from the potential volunteer pool.

Qualitative studies use detailed procedures for data analysis. The principles of phenomenological studies found in Creswell (2013) guide this study. Phenomenological studies “describe a common meaning for several individuals of their lived experience for a concept or phenomenon” (Creswell, 2013, p. 76). In this study, the phenomenon is the shared lived experience in their understanding of trust in the workplace. Creswell writes that phenomenology

reduces individual experiences with a concept to a common universal description (2013). This study looks to establish patterns or themes to draw meaning from the interviews and develop “naturalistic generalizations” (Creswell, 2013, p. 200) to propose a relationship of trust with authentic leadership and employee engagement. The template for coding comes from Creswell (2013, p. 207) and is illustrated in Figure 13.

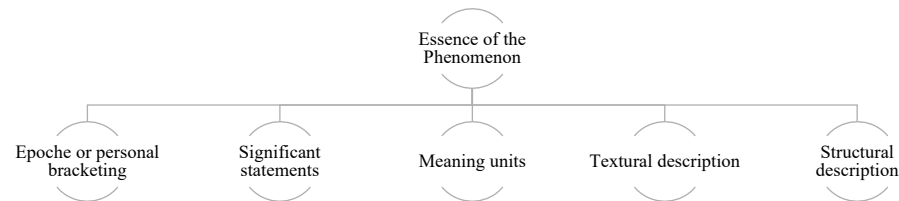


Figure 13. Template for coding a phenomenological study adapted from Creswell (2013, p. 207). Copyright 2013. Sage Publications.

Data Management

Data management consists of meticulous note taking and file management. All consent forms, email correspondence, data received from survey instruments with demographic data and other notes will be kept on file in electronic form. Data once received from the human resources manager has been and will be kept on a removable, encrypted removable hard drive with an encrypted cloud server backup.

MAXQDA 2018 was used to systematically evaluate and interpret both qualitative and quantitative data from the research. MAXQDA is designed to facilitate and support qualitative, quantitative and mixed methods research projects. It allows the researcher to import, organize, analyze, visualize many forms of data. Its functions range from transcription to inferential statistical analysis. SPSS software was also used.

Notes and sound recordings from the qualitative interviews were stored on a password protected and encrypted cloud server for a period of three years and then will be deleted from memory.

Data Analysis

To determine if a correlation existed between the Authentic Leadership Inventory and the Employee Engagement Survey the Pearson r correlation was used to provide a statistical evaluation of any associations. The value of the Pearson's product moment correlation or Pearson's r represents the magnitude and the direction of the relationship between the variables (Cooper & Schindler, 2003; Salkind, 2003). According to Salkind (2003), correlations between .0 and .2 are very weak, correlations between .2 and .4 are weak, .4 to .6 are moderate, .6 to .8 are strong and .8 to 1.0 are very strong. Descriptive statistics that include the mean, median, mode, standard deviation, range, minimum, maximum, and sum were generated for these demographic characteristics.

For the qualitative aspects, data analysis includes preparing and organizing the data, breaking down the data through a coding process, and then representing the data in graphically or in written form (Creswell, 2013). Creswell (2013) describes coding as "reducing the data into meaningful segments and assigning names for the segments." (p. 180) This study followed Creswell's *data analysis spiral* model for data analysis (2013). This model emphasizes that the data analysis steps are not separate and distinct phases but are "interrelated and often go on simultaneously" in a research project (Creswell, 2013, p. 182). This model is represented in Figure 14.

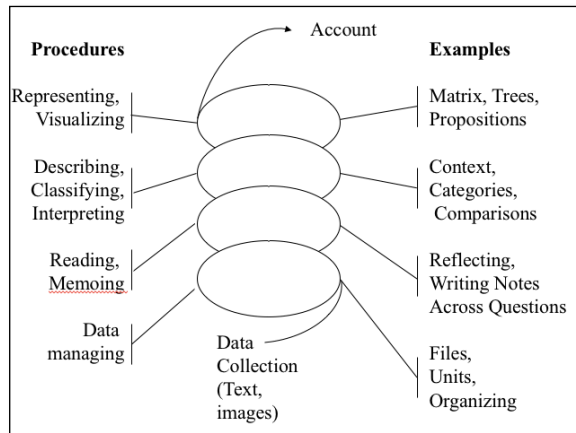


Figure 14. Creswell's data analysis spiral. Adapted and used with permission from Creswell, (2013, p. 183). Copyright 2013. Sage Publications.

Summary

This mixed methods study examined the correlation between authentic leadership behaviors demonstrated by management and employee engagement levels reported by unionized hourly workers in a major logistics service company and examined the factor of trust between management and union workers. In order to do this, this study analyzed and compared the results of the ALI and the Employee Engagement Survey and conducted interviews within a business division to examine attitudes on trust from a division a manager, a business center manager, a preload manager, full-time and part-time supervisors to delivery drivers and package handlers.

This chapter has outlined the research methods used for this mixed methods study. This chapter has presented the purpose of the study, the research question, and provided an overview of the chapter content and organization. This chapter then presented the methodology and rationale for the study to include the setting, the population and sampling procedures, human subject considerations, and the forms of data collection. Finally, this chapter presented thoughts on data validity, and ways to analyze the data.

The next chapter presented the research data and its findings. It presented the analysis and primary findings of each hypothesis and supporting data. It presented an explanation of the statistical methods used along with the demographic and descriptive statistical data.

Chapter 4: Findings

This chapter presents the findings and results of this mixed methods study. The first section restates the study purpose and states the primary findings. The second section presents the analysis and primary findings of each hypothesis and supporting data from the quantitative portion of the study. The third section presents an explanation of the statistical methods used along with the demographic and descriptive statistical data. The fourth section presents an analysis from the qualitative portion of the study, the organizational trust interviews. The chapter concludes with a brief summary. In several sections of this chapter, changes to the research methods (from Chapter Three) are highlighted and explained.

Purpose of the study

This mixed methods study examined the correlation between authentic leadership behaviors demonstrated by management and employee engagement levels reported by unionized hourly workers in a major logistics service company and examined the factor of trust between management and union workers. In order to do this, this study analyzed and compared the results of the Authentic Leadership Inventory and the Employee Engagement Survey and conducted interviews within a business division to examine attitudes on trust from a division manager, a business center manager, a preload manager, full-time and part-time supervisors, drivers, and package handlers. Within a context of positive organizational behavior, if there is a correlation between authentic leadership and employee engagement, and trust is identified to be a positive relationship, then perhaps an emphasis on leader training can lead to improved company performance.

Findings

Results indicated that there is a very weak negative correlation between scores on the authentic leadership inventory among management and employee engagement survey among hourly employees. Scores and resulting correlations varied somewhat across the district and were presented in following sections.

Findings for question 1. What is the relationship, if any, between authentic leadership among management and employee engagement among unionized hourly employees? A very weak negative correlation exists between authentic leadership among management and employee engagement among hourly employees among the study sample. The correlation between authentic leadership and employee engagement is $-.08$. According to Salkind (2003), correlations between $.0$ and $.2$ are very weak, correlations between $.2$ and $.4$ are weak, $.4$ to $.6$ are moderate, $.6$ to $.8$ are strong, and $.8$ to 1.0 are very strong, and are conversely indicated on the negative scale therefore according to Salkind's range the correlation is very weak negative. This finding does not support the Null Hypothesis (H_0): there is a positive correlation between the scores on the authentic leadership inventory and the employee engagement survey. Scores were compared for the authentic leadership inventory and the employee engagement survey across the 16 divisions in the sample.

Statistical correlation

The Pearson r coefficient is the most commonly used correlation coefficient. It is used to find a correlation between two data sets. The data for each division was taken for each instrument as summarized in Table 4 and calculated in MAXQDA 2018 to determine the correlation. The score comparison and correlation are indicated in Figure 15. The solid line in

the graph represents the Authentic Leadership Inventory scores and the dashed line indicates the Employee Engagement Survey scores by division.



Figure 15. Correlation of authentic leadership and employee engagement.

The following table shows the results for the Authentic Leadership Inventory (ALI) and the Employee Engagement Survey (EES) scores by division.

Table 4.

Survey Summary Scores

Division	ALI Score	EES Score
1	87	77
2	96	78
3	83	79
4	95	85
5	98	84
6	79	75
7	82	87
8	94	75
9	96	77
10	87	75
11	78	72
12	89	76
13	78	78
14	90	77
15	77	85
16	76	87

Where the average of the first array of values is from the independent value (authentic leadership) and the second array of values is from the dependent value (employee engagement). For matters of simplification, MAXQDA 2018 software quickly calculates the Pearson r coefficient demonstrating correlation.

MAXQDA 2018 was used to systematically evaluate and interpret both qualitative and quantitative data from the research. MAXQDA 2018 is designed to facilitate and support qualitative, quantitative and mixed methods research projects. It allows the researcher to import, organize, analyze, visualize many forms of data. Its functions range from transcription to inferential statistical analysis (MAXQDA 2018). SPSS software was also used. The challenge of using MAXQDA 2018 was in learning how to use it. It has a very comprehensive suite of tools available. The advantage is that once familiar, the researcher was able to quickly use the program to organize the quantitative and qualitative data and to use its tools to conduct data analysis. It allowed for the relative quick transcription of the audio recordings. MAXQDA allowed for cataloguing quotes from the interviews and data analysis to include calculation of Pearson r correlation coefficient.

Findings for question 2. In relation to the literature in what ways do the qualitative interviews contribute to a more comprehensive understanding of the relationship of authentic leadership and employee engagement? The analysis from the qualitative interviews indicated that high levels of trust occur among the persons interviewed. Candid discussions were held and the resulting coding show that high levels of trust exist among the persons interviewed. All of the participants held high levels of trust in the company. They knew they would get paid on time, enjoy their benefits earned, be told good news and bad news and otherwise not lied to.

They all felt that their leadership worked to provide a safe workplace. All participants stated that they felt it is was an ethical workplace. They did not feel that others worked to take advantage of them. They had seen unethical behavior on the job but also felt that those persons involved had been dealt with. One exception was a supervisor who said that he did not trust his employees at all. He was responsible for about 30 drivers. He felt that they would undermine their work whenever possible and spent his days checking up on each one. The other supervisors interviewed did mention specifically that they trusted their employees to do what was expected.

Quantitative Analysis

The first part of this section addressed the Authentic Leadership Inventory. The second part addressed the Employee Engagement Survey.

Authentic leadership inventory. The original plan for delivering the Authentic Leadership Inventory instrument as outlined in Chapter Three, was for the district human resources manager to send out the authentic leadership survey via email and the company electronic portal. Due to legal reasons, the researcher was not granted access to using company email. The compromise was to send the instrument to management employees using SMS text with a link to a Survey Monkey survey. At that point in time, due to delays in obtaining survey responses, the researcher decided to only include the sixteen package divisions and not the transportation (feeder and hub) management. The researcher had better access and was better known among the leadership in the package side of the district's operations. The district engineering director and the district president himself were instrumental in getting the word out to facilitate getting survey participants to respond.

The 16 authentic leadership inventory survey questions along with six demographic information questions were sent to a total of 1858 management employees during the period July

to August 2018 upon approval from the Pepperdine University's Institutional Review Board (IRB) and coordination with the company. 451 surveys were returned. Only operations management employees in the sixteen package divisions were selected for the survey to exclude data from the more "office-like environments" to be able to focus on the management-hourly employee relationship closer match to the participants in the employee engagement survey. The survey included seven demographic questions that included to which division the respondent is assigned to, age group, ethnicity, length of employment in the company, gender, and income level.

These populations samples differ from the proposed populations in chapter three. Initially, the researcher planned to administer the Authentic Leadership Inventory to all management employees in the district. The plan was also use the Employee Engagement Survey data from all hourly employees in the district. After careful consideration, and due to reasons explained above the decision was made to select the sample population within the 16 package divisions of the district and only operations management and employees. This excluded engineers, human resources, automotive and other sections, but the intent was to focus on the direct leadership experience. The transportation divisions (hub and feeder) were excluded due to limited access by the researcher. The population sample in chapter three was 3090 management and a final sample of 1858 was taken from the 16 package divisions. The total unionized hourly employee sample in chapter three was 17,910 and ultimately 11,040 were selected.

As a result, the authentic leadership survey results from 1858 participants was collected and analyzed. From a population of 1858 management employees, for a confidence interval of 5 and a confidence level of 95%, the survey would only have required 318 surveys returned. With

451 returns, then the results indicate that the confidence interval (margin of error) is extremely small of less than 5 and the confidence level of more than 95% is also extremely high.

The results from the Authentic Leadership Inventory are indicated in Table 5. In Table 5, the first column indicates the numeric identifier for each of the 16 package divisions within the district. The second column indicates the average score for each division. The third and fourth columns reflect the number of surveys sent to each division and the number of surveys returned.

Table 5.

Authentic Leadership Inventory Survey Results

Division	Score	Surveys Sent	Surveys Received
Total	87	1858	451
1	87	105	31
2	96	135	24
3	83	97	24
4	95	184	30
5	98	103	26
6	79	143	20
7	82	125	24
8	94	85	26
9	96	77	23
10	87	143	28
11	78	138	35
12	89	100	26
13	78	116	22
14	90	95	25
15	77	110	29
16	76	102	33

The scores calculated by question and by package division are shown in Table 6.

Table 6.

Scores by Questions by Division

Div #	Question 1	Question 2	Question 3	Question 4	Question 5	Question 6	Question 7	Question 8	Question 9	Question 10	Question 11	Question 12	Question 13	Question 14	Question 15	Question 16	Average
1	86.96%	88.89%	86.96%	85.71%	86.36%	78.26%	91.30%	79.17%	88.89%	92.00%	86.36%	84.00%	92.00%	91.67%	83.33%	91.67%	87%
2	90.48%	86.36%	90.91%	94.74%	95.24%	95.24%	95.45%	95.24%	95.45%	95.45%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	96%
3	77.27%	76.00%	90.48%	72.22%	88.24%	72.22%	100.00%	86.36%	84.21%	65.00%	85.00%	85.71%	77.27%	86.36%	100.00%	78.95%	83%
4	94.44%	100.00%	94.44%	95.00%	95.24%	94.44%	94.44%	94.12%	85.00%	100.00%	100.00%	94.74%	100.00%	94.44%	94.44%	94.44%	95%
5	92.86%	96.55%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	92.59%	96.30%	100.00%	96.43%	100.00%	100.00%	93.10%	98%
6	71.43%	68.00%	81.82%	61.11%	75.00%	75.00%	90.91%	75.00%	80.00%	95.00%	77.78%	80.95%	95.24%	81.82%	78.95%	77.27%	79%
7	71.43%	86.96%	86.96%	85.00%	76.19%	81.82%	86.36%	87.50%	80.00%	86.96%	73.91%	91.30%	91.30%	79.17%	76.19%	78.26%	82%
8	94.44%	100.00%	88.89%	93.75%	94.12%	94.12%	93.75%	93.75%	88.89%	100.00%	87.50%	100.00%	93.33%	100.00%	93.33%	93.75%	94%
9	100.00%	100.00%	100.00%	81.25%	94.74%	95.00%	100.00%	100.00%	95.00%	92.86%	95.00%	95.00%	100.00%	100.00%	94.74%	100.00%	96%
10	78.26%	92.31%	77.27%	83.33%	86.96%	95.65%	84.62%	91.67%	88.89%	91.30%	92.59%	85.19%	85.19%	85.19%	91.67%	77.78%	87%
11	68.00%	82.76%	88.46%	66.67%	75.00%	74.07%	88.00%	73.08%	79.17%	80.77%	72.73%	80.00%	80.00%	78.57%	84.00%	70.37%	78%
12	78.95%	95.24%	95.00%	73.68%	84.21%	85.71%	94.74%	89.47%	94.44%	84.21%	94.74%	90.48%	90.48%	90.48%	90.00%	88.89%	89%
13	83.33%	83.33%	72.22%	50.00%	76.47%	77.78%	81.25%	77.78%	81.25%	76.47%	66.67%	83.33%	85.00%	88.24%	81.25%	77.78%	78%
14	85.00%	95.24%	95.00%	88.24%	87.50%	88.24%	94.74%	78.95%	88.24%	80.00%	78.57%	95.00%	100.00%	100.00%	95.00%	94.44%	90%
15	69.57%	78.57%	85.71%	65.22%	71.43%	73.08%	84.62%	76.92%	69.23%	80.77%	90.91%	77.78%	95.24%	74.07%	73.91%	66.67%	77%
16	62.50%	80.00%	79.17%	57.89%	75.00%	58.33%	87.50%	69.57%	66.67%	96.00%	71.43%	83.33%	80.00%	91.30%	77.27%	77.27%	76%
Totals	81.56%	88.14%	88.33%	78.36%	85.11%	83.69%	91.73%	85.54%	85.33%	88.09%	85.59%	89.18%	91.34%	90.08%	88.38%	85.04%	87%

The researcher was able to exclude groups of questions according to the capacities described by the authors of the instrument (Neider and Schriesheim, 2011) in the survey analysis

to see if the correlation between the Authentic Leadership Inventory and Employee Engagement Survey could change significantly by more than a degree description—very slight, slight, strong, positive or negative, for example. These capacities are: self-awareness (questions 1, 5, 9, and 13), relational transparency (questions 2, 6, 10, and 14), balanced processing (questions 4, 8, 12, and 16), and internalized moral perspective (questions 3, 7, 11, and 15; Neider and Schriesheim, 2011). The Pearson r correlation coefficient did not change by more than .03 by removing any of the groups of questions. If there had been a major difference, it could have been inferred that authentic leadership capacity could then be the focus for additional emphasis.

The cumulative answers per question from the entire sample from the Authentic Leadership Inventory are included in Table 7. This compilation indicates overall responses from the survey across the 16 package divisions in the district. The table lists the questions from the inventory, followed by the percentage of favorable responses and percentage of unfavorable responses. The percentage of neither favorable nor unfavorable are not listed separately. The following columns indicate the percentage of responses in each category of strongly agree (StrA), agree (A), slightly agree (SA), neither agree nor disagree (N), slightly disagree (SD), disagree (D), and strongly disagree (StrD).

Table 7.

Authentic Leadership Inventory

<i>Authentic Leadership Inventory</i>	%F	%U	StrA	A	SA	N	SD	D	StrD
1. My supervisor/manager solicits feedback for improving his/her dealings with others.	73	16	23	42	8	11	4	7	5
2. My supervisor/manager clearly states what he/she means.	87	10	33	42	12	3	3	3	4
3. My supervisor/manager shows consistency between his/her beliefs and actions.	84	10	32	40	12	6	3	4	3
4. My supervisor/manager asks for ideas that challenge his/her core beliefs.	65	18	17	34	12	19	5	8	5
5. My supervisor/manager describes accurately the way that others view his/her abilities.	72	13	20	41	11	15	5	5	3
6. My supervisor/manager admits mistakes when they occur.	76	16	24	41	11	9	4	7	5
7. My supervisor/manager uses his/her core beliefs to make decisions.	83	7	29	42	12	10	2	2	3
8. My supervisor/manager carefully listens to alternative perspectives before reaching a conclusion.	78	13	24	41	13	9	4	5	4
9. My supervisor/manager shows that he/she understands his/her strengths and weaknesses.	75	13	27	40	8	12	3	6	4
10. My supervisor/manager openly shares information with others.	80	12	25	44	11	8	3	5	4
11. My supervisor/manager resists pressures on him/her to do things contrary to his/her beliefs.	70	13	22	39	9	18	4	5	4
12. My supervisor/manager objectively analyzes relevant data before making a decision.	83	9	26	46	11	8	3	3	3
13. My supervisor/manager is clearly aware of the impact he/she has on others.	83	11	33	43	7	6	3	4	4
14. My supervisor/manager expresses his/her ideas and thoughts clearly to others.	83	11	29	45	9	7	4	4	3
15. My supervisor/manager is guided in his/her actions by internal moral standards.	79	10	29	42	8	13	4	3	3
16. My supervisor/manager encourages others to voice opposing points of view.	75	14	23	36	16	11	6	4	4

Authentic Leadership Inventory Demographics. Of the 451 surveys answered, the following tables indicate the basic demographic information collected from the authentic leadership inventory. Demographic questions included division assignment, age, ethnic identity, education level, employment type, gender identity, and time in company. The responses to question 1, to what division are you assigned, are represented in Figure 16 below. Surveys were sent to management in each of the 16 package divisions of the district. These responses indicate that adequate responses were received from each division.

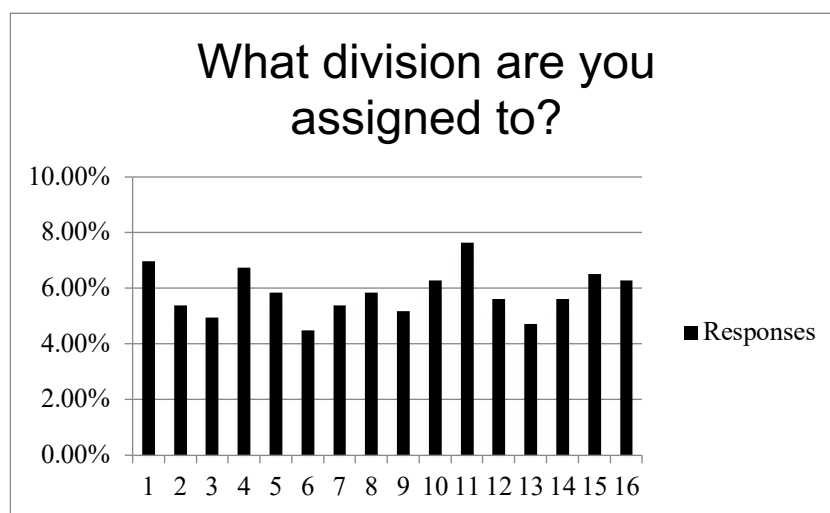


Figure 16. Question 1: What division are you assigned to?

Figure 17 indicates the age group as indicated by the survey respondents. The mean and median age group was 36-45 years old. There were respondents in all age categories. There most respondents in the 26-35 age category (142) while there were fewest respondents in the 17-21 age group (16) and 56-65 and 65 and over age groups (21).

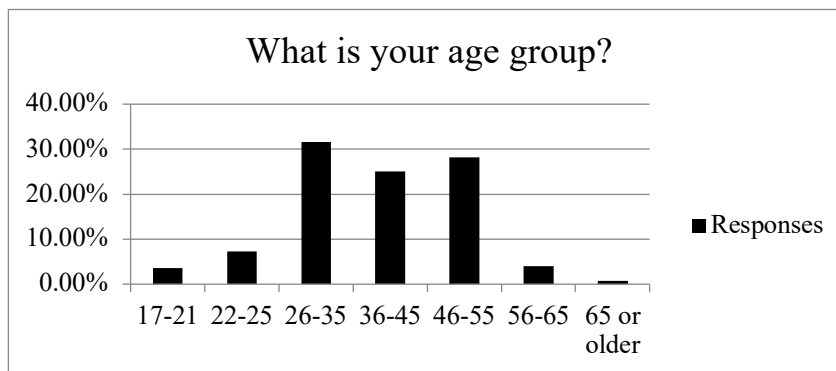


Figure 17. Question 2. What is your age group?

Figure 18 indicates the ethnic group as indicated by the survey respondents. 49% of the respondents identified themselves as Caucasian, 18.63% as Black/African, 17.29% as Hispanic/Latino, with less than 9% identifying as other ethnicities. Almost 10% (9.76%) preferred not to say.

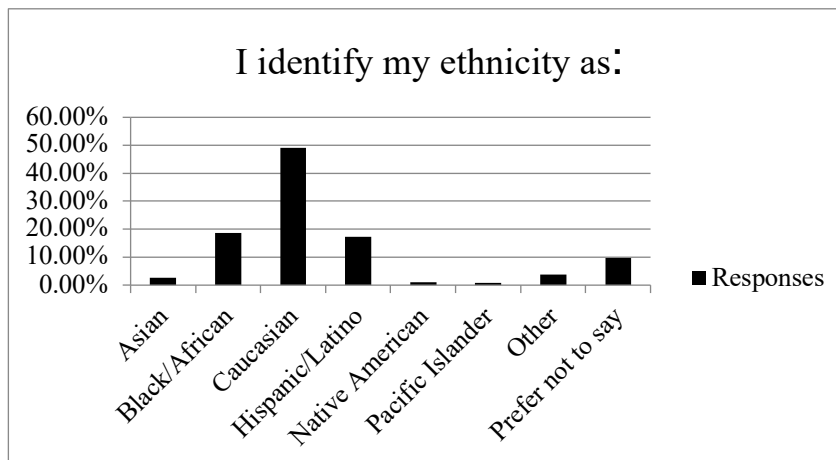


Figure 18. Question 3. I identify my ethnicity as:

Figure 19 indicates the educational level as indicated by the survey respondents. 56.54% stated they had some college with 30.60% stating they held a 4-year college degree with 5.99% holding graduate degree. 9.09% of the respondents reported holding a high school diploma with no college. In the company, it is not required to have a college degree for part-time supervisors, and it is normally required for full-time supervisors.

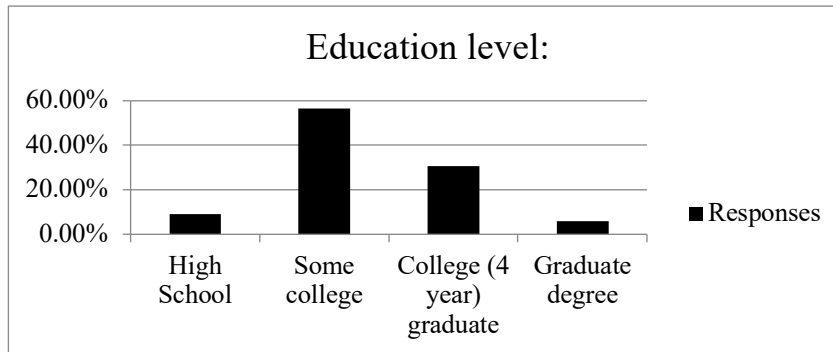


Figure 19. Question 4: What is your education level?

Figure 20 indicates the employment status as indicated by the survey respondents. 64.97% answer that they are employed full-time, 19.73% are employed part-time only, and 15.74% are employed part-time with another job outside the company.

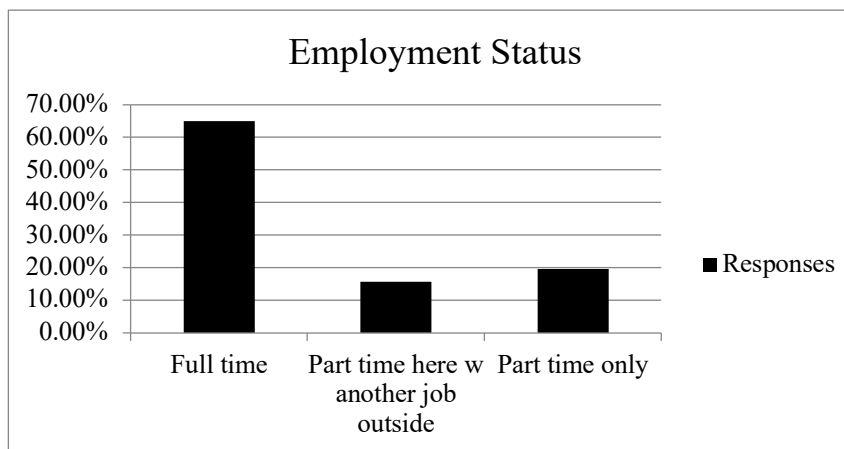


Figure 20. Question 5: What is your employment status?

Figure 21 indicates the gender identity as indicated by the survey respondents. 76% of the respondents identified themselves as male, with 18.85% as female, .67% as non-binary, and 4.43% preferred not to say.

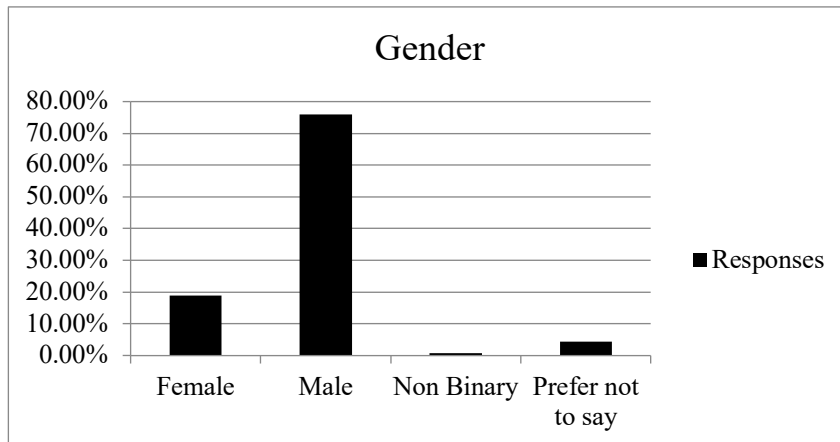


Figure 21. Question 6: What is your gender?

Figure 22 indicates the length of employment at the company as indicated by the survey respondents. The majority of the respondents reported that they have worked between 5 to 19 years at the company (36.14%) with having worked more than 20 years (29.27%), worked 1-5 years (27.72%) and less than 1 year (7.10%).

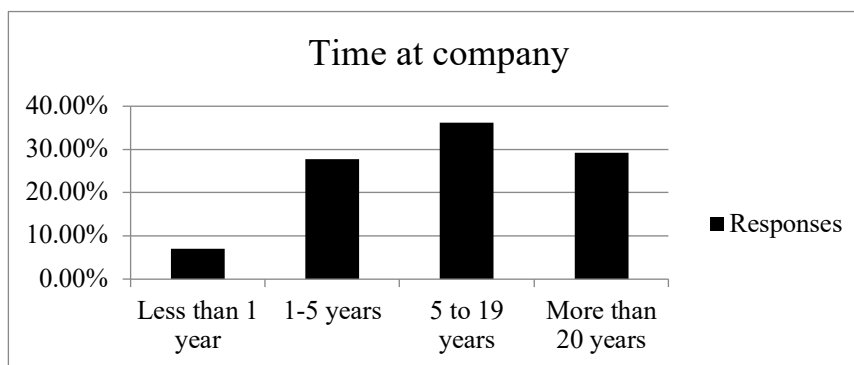


Figure 22. Question 7: How long have you been with the company?

Employment Engagement Survey. The human resources manager provided the employee engagement survey data. The overall score on the employee engagement survey was 79. A total of 11,040 employees were available while 9712 provided answers to the survey. Of

the total 17,910 available from the entire district, the researcher chose to select 11,040 employees from the package divisions due to the similarities and the management-hourly employee relationship pertinent to the study. Sections such as human resources and engineering were excluded to be consistent with the authentic leadership survey. The researcher did not include data from the transportation divisions due to the perceived difficulty in coordinating with the transportation divisions for the authentic leadership surveys. This allows the data analysis to focus on the management-hourly employee relationship. As a result, the employee engagement survey results from 9,712 participants were collected and analyzed. From a population of 11,040 hourly employees, for a confidence interval of only 1 and a confidence level of 99%, the survey would only have required 6,637 surveys returned. With 9,712 returns, the results indicate that the confidence interval (margin of error) is extremely small of less than 1%. The confidence level of more than 99% is extremely high.

Figure 23 indicates the number of surveys sent, answered and the scores from each division.

Division	SCORE	Surveys Sent	Surveys Received
<i>Total</i>	<i>79</i>	<i>11,040</i>	<i>9,712</i>
1	77	890	773
2	78	718	622
3	79	813	720
4	85	559	502
5	84	520	468
6	75	1130	937
7	87	699	669

(Continued)

Division	SCORE	Surveys Sent	Surveys Received
8	75	589	554
9	77	617	587
10	75	755	633
11	72	480	432
12	76	793	677
13	78	632	496
14	77	696	621
15	85	626	551
16	87	523	470

Figure 23. Employee engagement survey scores by division.

Qualitative Analysis

A total of 13 interviews were conducted at one business division during a period of three days. The only change to the original plan was that the researcher excluded the two part-time operations supervisors due their indirect role in the operations and the fact that they were always exceptionally occupied with their duties and were not deemed accessible. In order to sign up volunteers, an announcement flier was distributed throughout the business division in the days prior to the interview. Each interviewee was greeted, given a brief overview of the study purpose, signed an informed consent form, interviewed, and presented a \$10.00 gift card in appreciation for their time. Each interview lasted an average of 24.5 minutes. Only number identifiers were used to maintain the interviews in order and to ensure confidentiality. Each interview was voice recorded on an iPhone using a Bluetooth speaker to enhance recording

quality and clarity. A demographic worksheet was used to collect basic demographic data and is used in the preliminary analysis.

The interviews were audio recorded using a number identifier to maintain the interview participant's confidentiality. The position titles were important to determine if trust varied among supervisory and responsibility levels. Figure 24 shows the relationship of the employees within a business division "stovepipe" from the division manager, preload and business center managers, full-time and part-time supervisors, to drivers and package handlers were interviewed as indicated in the following diagram (note the 2 part-time operations supervisors crossed out):

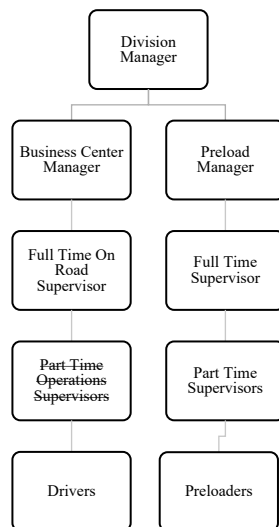


Figure 24. Interviewees.

Demographics

The preliminary analysis was conducted from the demographic data collected during each interview. Descriptive statistical data includes age, gender, ethnicity, length of employment, part-time, full-time, employment status, education level, and family income level. The demographic questionnaire is included in Appendix F. SPSS software was used for the demographic statistical analysis.

Thirteen employees were interviewed, seven from management and six unionized hourly employees. Figures 25 through 32 indicate interview responses from the demographic questionnaire.

Statistics		Age group	Ethnicity	Education level	Employment Status	Gender	Length of Employment	Total family income
N	Valid	13	13	13	13	13	13	13
	Missing	0	0	0	0	0	0	0
Mean		3.6923	2.8462				2.5385	4.3846
Median		4	2				2	4
Mode		5	2	1	1	1	2	6
Range		4	6	3	2	3	3	4
Minimum		1	1	1	1	1	1	2
Maximum		5	7	4	3	2	4	6

Figure 25. Descriptive statistics.

The age groups of the interviewees are illustrated in Figure 26. The median age group is 46-55.

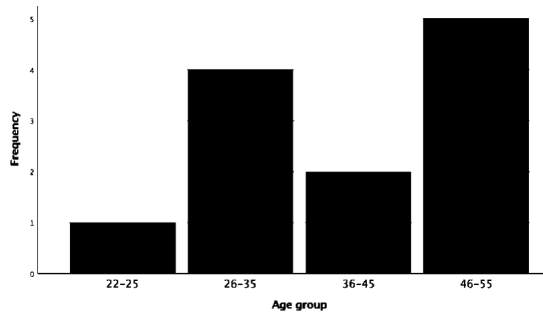


Figure 26. Age group of interviewees.

Figure 27 shows the ethnicity of the persons interviewed. The largest ethnic group were African Americans, Native Americans, and then Hispanic/Latinos. Interestingly, there no Caucasians/whites identified.

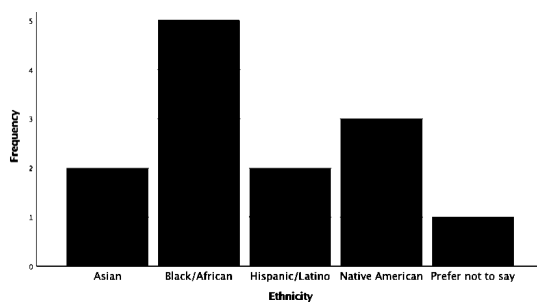


Figure 27. Ethnicity of interviewees.

The education levels of those interviewed are illustrated in Figure 28. College degrees are generally required for full-time management employees but not for hourly employees.

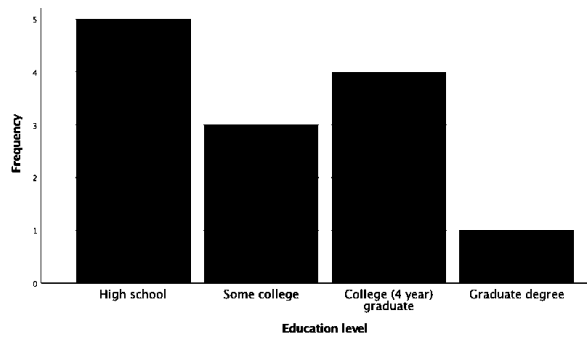


Figure 28. Education level of interviewees.

The employment status is shown in Figure 29. The fulltime supervisors are salaried management. The part-time supervisors work generally no more than 5 hours.

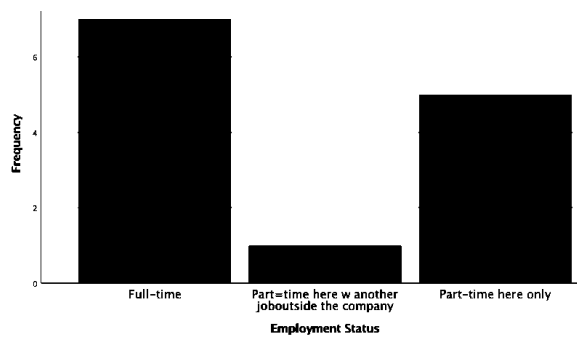


Figure 29. Employment status among interviewees.

Figure 30 shows the gender identity of the persons interviewed.

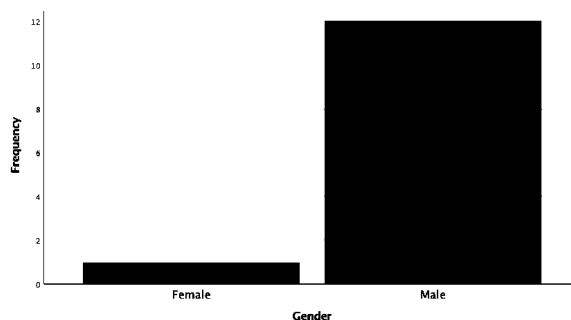


Figure 30. Gender.

Figure 31 reflects the length of employment. More of the interviewees have worked there for 1-5 years than in other groups.

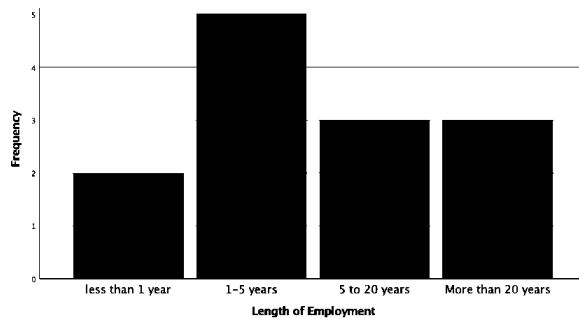


Figure 31. Length of employment descriptive statistics.

Figure 32 shows family income as reported by the persons interviewed. One person reported earnings from \$10,000 to \$24,999. Four reported earning between \$25,000 to \$49,999. Two reported family incomes for between \$50,000 and \$74,999 while one reported family income between \$75,000 and \$99,999. Five reported family incomes of more than \$100,000.

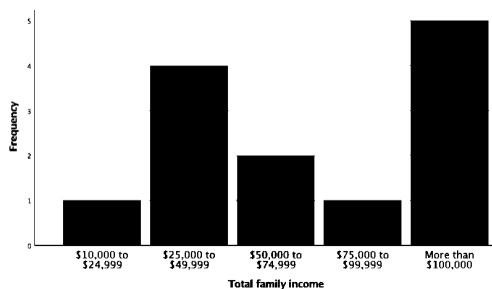


Figure 32. Total family income.

Phenomenology. The qualitative part of the study was designed using phenomenological research methods. A phenomenological study describes “the common meaning for several individuals of their lived experiences of a concept or phenomenon” (Creswell, 2013, p. 76). — trust in this case The phenomenological study then describes what the participants experienced and how they experienced it (Creswell, 2013).

This section provides a brief summary of the trust interviews. The trust interviews were based upon responses from the Organizational Trust Inventory, the researcher also asked the same questions in light of trust not only in the organization, but trust in their leaders (supervisors and managers), peers, and others in the organization. A common theme from each interview was that with one exception, the interviewees, whether management or unionized hourly employee, they all mentioned a positive trust in the company, the institution itself. The one exception was a driver with more than 15 years in the company. They all trust to get paid, to be protected from danger, protected from unhealthy work conditions, and to be able to express themselves and pursue their workplace objectives and goals. This that interface with the public on a daily basis (the package delivery drivers) feel a great deal of public trust. One of the drivers has been delivering to the World Trade Center for over 27 years. He stated that although tight security procedures are in place to enter the World Trade Center complex, being a driver for the company feels the trust placed in the company itself and he in turn feels that trust placed upon him in his daily responsibilities. Responses varied in trust from the division manager with more than 30 years in the company to a part-time supervisor who recently immigrated to the United States. Some fascinating stories ensued. Each respondent spoke of different aspects of their time in the company, but overwhelmingly they spoke of opportunity, trust in the company, and trust in the supervisors and managers. Table 8 illustrates the responses to the organizational trust index that was used to frame the interview discussions.

Table 8.

Answers to Organizational Trust Inventory

	Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
Question	1	2	3	4	5	6	7
1. I think the people in the company tell the truth in negotiations.					1	9	3
2. I think the that the company meets it negotiated obligations to our department.		1			2	7	3
3. In my opinion, the company is reliable.			1		3	6	3
4. I think that the people in the company succeed by stepping on other people.	3	7		2	1		
5. I feel that the company tried to get the upper hand.	4	4	2	1	1	1	
6. I think that the company takes advantage of our problems.	5	5	1			2	
7. I feel that the company negotiates with us honestly.				1	1	8	3
8. I feel that the company will keep its word.				1	1	5	6
9. I think the company does not mislead us			1		1	6	5
10. I think that the company tries to get out of its commitments.	4	6	1	1	1		
11. I feel that the company negotiates joint expectations fairly.					3	10	
12. I feel that the company takes advantage of people who are vulnerable.	4	7			2		

Table 9 provides highlights of some more memorable quotes in response to each of the trust inventory questions gathered from the transcripts of the recorded interviews.

Table 9.

Interview Quotes

Question	Quotes
1. I think the people in the company tell the truth in negotiations.	"I think the company does what it has to do. We sign up for whatever they say"
2. I think the that the company meets it negotiated obligations to our department.	"In my years in the company I feel it has always met its obligations"
3. In my opinion, the company is reliable.	"I can count on my sup to give the the good news, or the bad news- he gives it to me straight up"
4. I think that the people in the company succeed by stepping on other people.	"I haven't seen this happen here"
5. I feel that the company tried to get the upper hand.	"In the union contract negotiations they play this, but once settled, they give what they agree to"
6. I think that the company takes advantage of our problems.	"My supervisor helped me find a new apartment when my rent was raised"
7. I feel that the company negotiates with us honestly.	"In every day "negotiations", my supervisor tells me the good and the bad"
8. I feel that the company will keep its word.	"There are always some games, right? But overall I think they are honest- they got rid of that manager who was cheating"
9. I think the company does not mislead us	"My supervisor is pretty good at telling us what's going on"
10. I think that the company tries to get out of its commitments.	"I don't see this. Once they tell what they want, they are pretty consistent"
11. I feel that the company negotiates joint expectations fairly.	"Everything is a negotiation- they always want more from us, but that's part of staying in business, I guess."
12. I feel that the company takes advantage of people who are vulnerable.	"I could be seen a vulnerable person being a recent immigrant, but the company has given me nothing but opportunity"

Coding. This section will highlight the selection of the coding themes. As outlined in the above paragraph the researcher chose coding themes represented in the transcribed audio recordings of the interviews. The audio files were transcribed using Temi software. The transcriptions were coded using MAXQDA software. Preliminary coding included themes of trust, honesty, commitment, hard work, team building, leadership and values. A code is a word or phrase that “symbolically assigns a summative, salient, essence-capturing, and/or evocative attribute for apportion of language-based or visual data” (Saldaña, 2013, p. 3).

Table 10 shows the number of times each coding theme was mentioned during the 13 interviews:

Table 10.

Coding Theme Frequency

Theme	Number of times mentioned
Trust	38
Honesty	7
Commitment	9
Hard work	12
Team building	7
Leadership	34
Values	12

Summary

To summarize the findings of this study, a very weak negative correlation was found to exist between authentic leadership and employee engagement among hourly employees in the study sample. The study sample included 9712 hourly employees and 1858 management employees in a district in the large logistics service company. Thirteen interviews on trust were conducted in a sample business division that provided context and an understanding of the values, commitments, and feeling of the managers, supervisors, and employees' interviews. Descriptive statistics were included as additional information regarding the district demographics.

Chapter 5: Discussion

Overview

The preceding chapter presented the results of the data analysis of the quantitative and qualitative parts of this study. This chapter presents the descriptive and normative implications for linking authentic leadership theory and employee engagement. This chapter also discusses trust as a conceptual link between the two. This chapter is divided into three parts. The first presents the implication of the findings. The second presents the limitation of the study. The third and last section presents ideas for suggested future research.

The Findings Related to the Research Questions and Hypothesis

As determined in Chapter 4 results of the research, research question 1 was answered: What is the correlation, if any, between authentic leadership among management and employee engagement among unionized hourly employees? A very weak negative correlation exists between authentic leadership among management and employee engagement among hourly employees among the study sample. The correlation between authentic leadership and employee engagement is $-.08$. According to Salkind (2003), correlations between $.0$ and $.2$ are very weak, correlations between $.2$ and $.4$ are weak, $.4$ to $.6$ are moderate, $.6$ to $.8$ are strong, and $.8$ to 1.0 are very strong, so in Salkind's range the correlation is very weak. This finding supports the Alternate Hypothesis (H1): There is a negative correlation between the scores on the authentic leadership inventory.

The null hypothesis was not supported. The hypothesis in quantitative research "is a prediction a researcher makes about expected outcomes of relationships among variables" (Creswell, 2014, p. 143). Null hypotheses "represent a traditional approach, making a prediction

that in the general population, no relationship or significant relationship exists between groups on a variable” (Creswell (2014, p. 144). The data suggests that this is not the case.

This mixed methods study examined the correlation between authentic leadership behaviors demonstrated by management and employee engagement levels reported by unionized hourly workers in a major logistics service company and examined the factor of trust between management and union workers. In order to do this, this study analyzed and compared the results of the Authentic Leadership Inventory and the Employee Engagement Survey and conducted interviews within a business division to examine attitudes on trust from a division a manager a business center manager, a preload manager, full-time and part-time supervisors, drivers, and package handlers. Within a context of positive organizational behavior, the study sought to determine if there is a correlation between authentic leadership and employee engagement, and within the context of the pertinent literature, if trust be identified in a correlational relationship, then perhaps an emphasis on leader training can lead to improved company performance. This study has met its original purpose. A very weak negative correlation between authentic leadership and employee engagement was found statistically to exist. The second research question was answered. In relation to the literature in what ways do the qualitative interviews contribute to a more comprehensive understanding of the relationship of authentic leadership and employee engagement? The qualitative interviews on trust provided context to the quantitative part of the study. Spending time with and engaging with members of representative business division, provided a depth of understanding and uncovered themes of respect, fulfillment, and interdependency. One aspect of the study was found in the quantitative data. The qualitative interviews provided context and meaning in the relationships among management and hourly employees.

The analysis from the qualitative interviews indicated that high levels of trust occur among the persons interviewed. The interviews revealed that trust is a concept or framework not entirely understood by many. At a macro level, the interviews revealed that without exception, high levels of trust in the company existed. The participants indicated that they feel that the company will pay them on time, provide the contractual obligations as promised, and provide for a safe workplace. The research also indicated that the interview participants trust in their co-workers. They do not feel that people step on one another. They generally feel that they trust their managers and supervisors to tell them good news and bad news as it is. The exceptions discovered in the research occurred with on-road supervisors who did not trust in their drivers. They felt that they had to “micromanage” their drivers to get the desired business results. This warrants further research among on-road supervisors. Further work needs to be done to develop training and understanding on trust. What behaviors enhance trust and what behaviors erode trust in the workplace? Trust as a factor in employee engagement and a thorough understanding of employee engagement and its impact on productivity and the corporate bottom line needs to be more fully developed.

The mixed methods study methods permitted the researcher to not only analyze the quantitative data, but to gain a better insight through the qualitative interviews to the dynamics of the organization, their stories and impressions of the persons interviewed. According to Creswell (2014) the central idea of the convergent mixed-methods study, is that the researcher collects both quantitative and qualitative data separately, compares the results, and uses the results of one method to confirm the validity of the other. In this case, although the quantitative results found a slightly negative correlation between authentic leadership and employee engagement, the qualitative interviews did find a high level of trust. The study found relatively high levels of all

three major components of the research. The indices of the Authentic Leadership Inventory were high with a cumulative score of 87, an employee engagement survey total score of 79 and high levels of trust found in the trust interviews. Given this, there are many areas of further research that can be conducted along these lines.

Authentic Leadership Revisited

As highlighted in chapters one and two, the authentic leader “knows oneself” and is able to “behave in accordance with one’s values, understanding of oneself and communicate their self to followers who then experience their leader as authentic” (Ladkin & Taylor, 2010, p. 65).

Luthans and Avolio (2003) define authentic leadership as “a process that draws from both positive psychological capacities and a highly developed organizational context, which results in both greater self-awareness and self-regulated positive behaviors on the part of leaders and associates, fostering positive self-development”(p. 243). Hassan and Ahmed (2011) found that authentic leadership had a positive correlation with higher levels of trust in organizations with enhanced job satisfaction. This study adds to the research indicating a positive correlation of authentic leadership with employee engagement.

Employee Engagement Revisited

This study follows Lockwood’s (2007) definition of employee engagement as “the extent to which employees commit to something or someone in their organization, how hard they work, and how long they stay as a result of that commitment” (Lockwood, 2007, p. 2). Of the workplace trends listed in Lockwood (2007) and mentioned above in Chapter 1, a major concern in the company that hosted this study, is that of employee recruiting and retention. With unemployment at very low levels across the region, the company finds it difficult to find and retain quality employees. As Fleming and Asplund (2007, p. 2) found that “engaged employees

are less likely to leave their employer” then the importance of authentic leadership and the resulting employee engagement are that much more important.

Trust Revisited

“Trust is a psychological state comprising the intention to accept vulnerability based upon positive expectations of the intentions or behaviors of another” (Rousseau et al., 1998). This definition first mentioned above in Chapter 1 and is the basis of the discussion of trust in this study. The qualitative interviews outlined in Chapter 3 and 4 allowed to for context within an otherwise quantitative study.

The interviews produced discussions that demonstrate the existence of the five categories of trust depicted in Lewicki and Bunker (1996) categories of trust model presented in Chapter 2 summarize the major viewpoint on trust. The first category, deterrence-based trust (Rousseau et al., 1998) infers no positive expectation, but only the threat punishment or sanctions guarantees compliance. Some of the more junior employees expressed this idea that they trusted their supervisors to provide punishment or withhold privileges of they did not perform their jobs well. The second category, the calculus-based trust model (Lewicki & Bunker, 1996) is the economics model, based on a calculated exchange of costs and benefits. Suspicion remains in this model and is considered in the cost-benefit analysis. One driver stated that this type of trust was the deal, that the managers had their work to do, and that he had his. The third, is knowledge-based (Lewicki & Bunker, 1996) is where suspicion is replaced by “confident knowledge” (p. 563) of the trustee’s motives, abilities, and reliability. Rousseau et al. (1998) described the relational-based trust that is more subjective- it develops from the quality of the relationship and is a strong degree of trust. The final, and most complete and highest form of trust is described by Lewicki and Bunker (1996). The person who trusts and the person who is trusted share a common

identity and values. They have complete confidence in each other. This was common in the more senior managers. They felt ownership in the company and its culture, processes, and ultimately, its success.

Limitations

There were several limitations in this study. Limitations in this study are follow Creswell (2013, p. 229) and “identify potential weaknesses or limitation in the study design.” This section lists and discusses the limitations presented.

Limitation one. The first limitation is in the geographic limits of this study. The New York and New Jersey areas are not representative of the entire United States. This study could be easily replicated in any other region of the country and the results may vary slightly. The demographics may alter the results as well. There is an immense amount of data collected in this study and some aspects of age, gender, ethnicity could be examined more closely, and statistical analysis conducted to draw additional conclusions.

Limitation two. This study is not longitudinal. It takes a snap shot of attitudes of authentic leadership and employee engagement at one moment in time. Although some analysis was conducted on age groups and length of employment, more analysis could be made and repetitive surveys over time could be administered annually, for example.

Limitation three. The researcher feels that there are underlying problems with survey data in general. One of the assumptions made in Chapter 3 of this study includes that respondents will take adequate time to answer the survey questions and will answer honestly. When immersed in the company culture it becomes apparent that management is filled with busy and often over-committed people and the assumption may become limited. Another problem with the survey data is that although the survey was sent out with instructions to send to each

management employee (both full time and part time), due to the limits place by keeping the results confidential and anonymous, the researcher feels that there were inconsistencies produced by variations in respondents across the divisions. For example, if each division has the same number of part-time managers, the same number of preload employees, the same number of on-road management who responded, the results may have been more supportive of the null hypothesis.

Limitation four. The two survey instruments used in this study are widely used and have demonstrated efficiencies. There are other instruments used in research and could be used with possible varying results. The interviews could also be better structured or structured differently and could provide varying results.

Limitation five. The employee engagement data was only provided for the district in the study. The survey was administered nation-wide and along with demographic data, could potentially reveal additional insights that the provided data alone did not. One positive aspect of this study are the population and sample sizes. Management and hourly employees combined total more than 21,000 persons. Organization and good data management allowed for effective analytic procedures.

Limitation six. The initial coordination with the district human resources manager included a request that the authentic leadership survey would be distributed by the human resources office using company email. After IRB approval, when coordinating the actual survey distribution, the manger reneged on her promise. Citing legal reasons, the researcher was not permitted to use company email, greatly slowing down the administration and in the end limiting the extent of the study.

Future Suggested Research

Future research could follow on several different lines. These could include restricting the study along geographic lines, conducting a “deep dive” in to individual employee performance data, conducting case-studies, and exploring different leadership frameworks or possibly a deeper analysis into the collected demographic data. A longitude study could be designed and conducted. Another line of investigation could be a comparison of authentic leadership, employee engagement, and trust at this particular company compared to industry in general or the entire country if comparison data is available. Each of these possibilities is discussed in more detail in the following paragraphs.

The first is conducting the same study but in different geographic regions, such as in the Mid-west or in Coast regions. Gallup (2017) found that employee engagement varies across world regions, with North America having the most engaged employees. The major logistic service company that hosted this study could easily provide data to other US regions and authentic leadership surveys could be administered to determine if the same correlation found in the North Atlantic region exists on other regions with either greater, lesser, or equal levels of employee engagement.

The second line of research could be to dig deeper in the exact performance data of individual employees. An analysis could be made with either high performing or low performing employees and survey their direct and immediate supervisors and managers to determine if there is a correlation between authentic leadership and employee engagement as pertaining to performance data. This could be easily done with existing data of employee performance (pre-load and on-road delivery drivers).

The third could include case-study research to better explain employee engagement and develop a more detailed assessment of employee engagement. The company records and maintains an enormous amount of performance data for its hourly employees. Responses to the employee engagement made available to the researcher did not include individual identifiers. If a separate employee engagement survey could be made and to assess employee engagement and performance data, then a correlation could be shown to exist between employee engagement and performance (productivity). Specific employee engagement data could be compared to specific leaders and an assessment of their authentic leadership behavior.

A fourth line of investigation into the comparison of this company authentic leadership, employee engagement, and trust to other organizations could be conducted. In chapter two of this paper, the work and scope of the Gallup organization was reviewed. It merits a brief comparison this this study's findings regarding employee engagement to employee engagement found in the American workplace as found by Gallup (2017). Overall, among hourly employees in this study, the employee engagement index was 79, meaning that 79% of the hourly workforce surveyed identified themselves as engaged in the workplace. Gallup (2017) found that nearly 31% of workers were engaged nation-wide. The results in this study are quite remarkable, then and warrants further study to seek explanations for why the employee engagement at this company seem so high compared to the Gallup findings. The results of the authentic leadership inventory seem quite high also. Do other companies have similar levels of authentic leadership? And if so, why or why not?

A fifth future line of study could be based on trust and engagement. A survey or case study on trust could be conducted to analyze any possible correlation between factors of trust and

employee engagement. Any of these lines of further study could include some of the vast amount of performance data held by the company.

This study focused on authentic leadership set in a framework of positive organizational behavior. Other leadership frameworks could be used. Transformation leadership that focuses on leadership behaviors or servant leadership behaviors could be identified and relationships explored to better understand any possible relationship among management and employees. There is no doubt that authentic leadership is a valid framework for studying and practicing leadership. Employee engagement is also a valid framework. The researcher recommends further analysis of the limitations described above and taken with suggestions for further research, the quest for further understanding of business performance continues. Other research should be designed and conducted to further investigate the many aspects of positive leadership and employee behavior.

More research needs to be conducted and conclusions drawn along ethnic, gender, age, and other demographic lines. Are men more engaged than women with authentic leaders? Does authenticity resound more with older employees than with millennials? Any one of the demographic categories could present a study in and of itself. The data has been collected.

A longitudinal study could be designed and conducted with specific leadership training conducted in a one group and none in another. The two groups could be followed over time to determine any positive (or negative) changes in attitudes, behaviors, or in productivity, employee turnover, or other specific measures of performance?

Another interesting line of research could include the emerging field of neuroscience of leadership. Emerging research from the Neuroleadership Institute in New York City that includes work on functional MRIs to study how the brain functions in leadership. Paul Zak

(2004, 2017) has conducted intensive research involving the body's chemical reactions with trust and employee engagement. These areas could provide new insights to more traditional leadership studies.

Return to Study Purpose

This mixed methods study examined the correlation between authentic leadership behaviors demonstrated by management and employee engagement levels reported by unionized hourly workers in a major logistics service company and examined the factor of trust between management and union workers. In order to do this, this study analyzed and compared the results of the Authentic Leadership Inventory and the Employee Engagement Survey and conducted interviews within a business division to examine attitudes on trust from a division a manager a business center manager, a preload manager, full-time and part-time supervisors, drivers, and package handlers. Within a context of positive organizational behavior, the study sought to determine if there is a correlation between authentic leadership and employee engagement, and within the context of the pertinent literature, if trust be identified in a causal or even correlational relationship, then perhaps an emphasis on leader training can lead to improved company performance. This study has met its original purpose, although with different results than expected.

Summary

Why does all of this matter? Returning to the problem statement, the major logistics service company in this study must reduce employee turnover, maintain a high level of performance in a changing market, and maintain its high level of customer and public trust. It seeks to maintain its principles and values, while following its strategy to create value, transform, and invest to grow to accomplish its mission of growing its global business,

maintaining a financially strong company, inspiring its people and partners to do their best, while leading the market to make a positive difference in the communities they serve. The company maintains a global footprint and faces many challenges. Increased competition from Amazon, its most significant competitor and customer at the same time, increasing use of technology, a mostly unionized workforce, and the rapid increase in package volume due to e-commerce, produces stress to force rapid growth and change in a large organization. To accomplish their goals and meet these challenges, improved leadership and employee engagement are crucial priorities for business success in today's service industries. This study has discussed all of these challenges and has reinforced all of the preceding concepts.

As discussed in Chapter 1 of this study, the global marketplace faces many challenges. The business setting where this study was conducted is set in this global, changing, and dynamic marketplace. Since this study began, the unemployment rate has fallen to a low of under 4%. This tight labor market makes it even more important to keep employees. With high consumer optimism, the host for this study has seen a tremendous growth in shipping volume, further straining the employment environment. Leadership produces change and can establish direction and vision for change (Kotter, 1990). Problems arise, customers cancel contracts, political conditions shift, and change is constant. This study sought to establish a positive correlation between authentic leadership and employee engagement while examining the factor of trust in a context of positive organizational behavior and found that in the context of this study, there was not a strong positive correlation between authentic leadership and employee engagement as perhaps expected. Leaders inspire, provide vision, and care for their employees in order to produce the desired production outcomes but the importance lies in employee engagement. Engaged employees are more productive, take fewer sick days, have lower turnover rates

(Fleming & Asplund, 2007). They are more profitable, safer, and healthier. Trust is a key factor and is the “cement” that ties authentic leadership to employee engagement. The premise of this study is that if authentic leadership is linked to employee engagement, then one way to increase engagement levels (and thereby profitability) is to develop authentic leaders. While the correlation was not found, the researcher maintains that authentic leadership is an important factor in employee engagement and that trust is a very important indicator of the types of relationships that must be established and maintained in order for the right business environment- a high trust and engagement environment to meet today’s challenging business world.

REFERENCES

- Agote, L., Aramburu, N., & Lines, R. (2016). Authentic leadership perception, trust in the leader, and followers' emotions in organizational change processes. *Journal of Applied Behavioral Science*, 52(1), 35-63. doi: 10.1177/0021886315617531
- Avolio, B. J., & Gardner, W. L. (2005). Authentic leadership development: Getting to the root of positive forms of leadership. *The Leadership Quarterly*, 16, 315-338. doi:10.1016/j.leaqua.2005.03.001
- Avolio, B. J., Gardner, W. L., Walumbwa, F. O., Luthans, F., & May, D. R. (2004). Unlocking the mask: a look at the process by which authentic leaders impact follower attitudes and behaviors. *Leadership Quarterly*, 15(6), 801-823. doi: 10.1016/j.leaqua.2004.09.003
- Avolio, B., Luthans, F., & Walumbwa, F.O., (2004). Authentic leadership: Theory-building for veritable sustained performance. Working paper. Gallup Leadership Institute, University of Nebraska, Lincoln.
- Bakker, A. B., & Schaufeli, W. B. (2008). Positive organizational behavior: engaged employees in flourishing organizations. *Journal of Organizational Behavior*, 29(2), 147-154. doi: 10.1002/job.515
- Bass, B. M. (1985). *Leadership and performance beyond expectation*. New York: Free Press.
- Bass, B. M., & Riggio, R. E. (2006). *Transformational leadership*. Retrieved from <http://ebookcentral.proquest.com.lib.pepperdine.edu>
- Bass, B. & Steidlmeier, P. (1999). Ethics, character, and authentic transformational leadership behavior. *The Leadership Quarterly*, 10, 181-217. doi: 10.1016/S1048-9843(99)00016-8
- Bird, J. J., Wang, C., Watson, J. R., & Murray, L. (2009). Relationships among principal authentic leadership and teacher trust and engagement levels. *Journal of School*

- Leadership*, 19(2), 153-171. Retrieved from
[http://web.b.ebscohost.com.lib.pepperdine.edu/ehost/pdfviewer/pdfviewer?vid=4&sid=914121bc-7bf7-4454-9738-2b4447a7bb7a%40sessionmgr101](http://web.b.ebscohost.com/lib.pepperdine.edu/ehost/pdfviewer/pdfviewer?vid=4&sid=914121bc-7bf7-4454-9738-2b4447a7bb7a%40sessionmgr101)
- Braun, S., Peus, C., Weisweiler, S., & Frey, D. (2013). Transformational leadership, job satisfaction, and team performance: A multilevel mediation model of trust. *The Leadership Quarterly*, 24(1), 270-283. doi: 10.1016/j.leagua.2012.11.006
- Brower, H., Lester, S., Korsgaard, M., & Dineen, B. (2009). A closer look at trust between managers and subordinates: Understanding the effects of both trusting and being trusted on subordinate outcomes. *Journal of Management*, 35, 2, 327-347. doi: 10.1177/0149206307312511
- Bryson, A. (2001). The foundation of 'partnership'? Union effects on employee trust in management. *National Institute Economic Review*, 176(1), 91-104. doi: 10.1177/0027950100117600108
- Burke, C. S., Sims, D. E., Lazzara, E. H., & Salas, E. (2007). Trust in leadership: A multi-level review and integration. *The Leadership Quarterly*, 18(6), 606-632. doi: 10.1016/j.leagua.2007.09.006
- Burns, J.M. (1978). *Leadership*. New York, NY: Harper and Row.
- Catlette, B. & Hadden, R. (2012). *Contented cows still give better milk: The plain truth about employee engagement and your bottom line*. Hoboken, NJ: Wiley and Sons.
- Csikszentmihalyi, M. (2014). *Flow and the foundations of positive psychology: The collected works of Mihaly Csikszentmihalyi*. New York, NY: Springer.

- Clapp-Smith, R., Vogelgesang, G., & Avey, J. (2009). Authentic leadership and positive psychological capital. *Journal of Leadership & Organizational Studies*, 15(3), 227-240. doi: 10.1177/1548051808326596
- Cole, M. S., Walter, F., Bedeian, A. G., & O'Boyle, E. H. (2012). Job burnout and employee engagement: A meta-analytic examination of construct proliferation. *Journal of Management*, 38(5), 1550-1581. doi: 10.1177/0149206311415252
- Cooper, C.D., Scandura, T.A., & Schriesheim, C.A. (2005). Looking forward but learning from our past: Potential challenges to developing authentic leadership theory and authentic leaders. *The Leadership Quarterly*, 16, 475-493. doi: 10.1016/j.lequa.2005.03.008
- Cooper, D. R., & Schindler, P. S. (2003). *Business research methods (8th ed.)*. New York, NY: McGraw-Hill Higher Education.
- Covey, S. M. R., & Merrill, R. R. (2006). *The speed of trust: The one thing that changes everything*. New York, NY: Free Press.
- Crawford, E.R., Rich, B.L., Buckman, B., & Bergeron, J. (2014). The antecedents and drivers of employee engagement. In C. Truss, R. Delbridge, K. Alfes, A. Shantz & E. Soane (Eds.). *Employee engagement: In theory and practice*. New York, NY: Routledge.
- Creswell, J.W. (2013). *Qualitative inquiry & research design (3rd ed.)*. Los Angeles, CA: SAGE Publications.
- Creswell, J. W. (2014). *Research design: Qualitative, quantitative, and mixed methods approaches*. Thousand Oaks, CA: SAGE Publications.
- Cummings, L. L., & Bromiley, P. (1996). The Organizational Trust Inventory (OTI): development and validation (e-book version). In R. Kramer & T. Tyler (Eds.), *Trust in organizations: Frontiers of theory and research* (pp. 302-330). Thousand Oaks, CA:

Sage. doi:10.4135/9781452243610.n15

- Dagher, G. K., Chapa, O., & Junaid, N. (2015). The historical evolution of employee engagement and self-efficacy constructs. *Journal of Management History*, 21(2), 232-256. doi: 10.1108/JMH-05-2014-0116
- Demerouti, E., Bakker, A. B., Nachreiner, F., & Schaufeli, W. B. (2001). The job demands-resources model of burnout. *The Journal of Applied Psychology*, 86(3), 499-512. <http://dx.doi.org.lib.pepperdine.edu/10.1037/0021-9010.86.3.499>
- Dietz, G., & Den Hartog, D.N. (2006). Measuring trust inside organizations. *Personnel Review*, 35(5), 557-588. doi:10.1108/00483480610682299
- Dirks, K. T., & Ferrin, D. L. (2001). The role of trust in organizational settings. *Organization Science*, 12(4), 450-467. doi: 10.1287/orsc.12.4.450.10640
- Dirks, K. T., & Ferrin, D. L. (2002). Trust in leadership: meta-analytic findings and implications for research and practice. *The Journal of Applied Psychology*, 87(4), 611-28. doi: 10.1037//0021-9010.87.4.611
- Fleming, J. H., & Asplund, J. (2007). *Human sigma: Managing the employee-customer encounter*. New York, NY: Gallup Press
- Ford, J., & Harding, N. (2017). The impossibility of the “true self” of authentic leadership. *Leadership*, 7, 4, 463-479. doi: 10.1177/1742715011416894
- Fowler, F. J. (2009). *Survey research methods*. Thousand Oaks, CA: SAGE.
- Gardner, W. L., Avolio, B. J., Luthans, F., May, D. R., & Walumbwa, F. (2005). “Can you see the real me?” A self-based model of authentic leader and follower development. *The Leadership Quarterly*, 16(3), 343-372. doi: 10.1016/j.leaqua.2005.03.003

- Gardner, W. L., Coglisier, C. C., Davis, K. M., & Dickens, M. P. (2011). Authentic leadership: A review of the literature and research agenda. *Leadership Quarterly*, 22(6), 1120-1145. doi: 10.1016/j.leaguan.2011.09.007
- Gibbons J. (2007). *Finding a definition of employee engagement executive action report*. The Conference Board Executive Action Series, N 236. The Conference Board. Retrieved from <https://www.conference-board.org/publications/publicationdetail.cfm?publicationid=1324>
- Glaeser, E. L., Laibson, D. I., Scheinkman, J. A., & Soutter, C. L. (2000). Measuring trust. *Quarterly Journal of Economics Cambridge Massachusetts*, 115, 811-846. doi: 10.1162/003355300554926
- Goleman, D. (2005). *Emotional intelligence*. New York, NY: Bantam Books.
- Harter, S. (2002). Authenticity. In C. R. Snyder, & S. Lopez (Eds.). *Handbook of positive psychology* (pp. 382 – 394). Oxford: UK7 Oxford University Press.
- Harter, J. K., Schmidt, F. L., & Hayes, T. L. (2002). Business-unit-level relationship between employee satisfaction, employee engagement, and business outcomes: a meta-analysis. *The Journal of Applied Psychology*, 87(2), 268-79. doi:10.1037/0021-9010.87.2.268
- Hassan, A., & Ahmed, F. (2011). Authentic leadership, trust and work engagement. *World Academy of Science, Engineering and Technology*, 80, 750-756. doi: urn:dai:10.1999/1307-6892/10397
- Hasel, M. C., & Grover, S. L. (2017). An integrative model of trust and leadership. *Leadership & Organization Development Journal*, 38(6), 849-867. doi: 10.1108/LODJ-12-2015-0293

- Helliwell, J. F., & Huang, H. (2011). Well-being and trust in the workplace. *Journal of Happiness Studies*, 12(5), 747-767. doi: 10.1007/s10902-010-9225-7
- Hindle, T., & Economist. (2008). *Guide to management ideas and gurus*. London: Profile.
- Hsieh, C.C., & Wang, D.S. (2015). Does supervisor-perceived authentic leadership influence employee work engagement through employee-perceived authentic leadership and employee trust? *The International Journal of Human Resource Management*, 26(18), 2329-2348. doi: 10.1080/09585192.2015.1025234
- Ilies, R., Morgeson, F. P., & Nahrgang, J. D. (2005). Authentic leadership and eudemonic well-being: Understanding leader-follower outcomes. *The Leadership Quarterly*, 16(3), 373-394. doi:10.1016/j.leaqua.2005.03.002
- Jeung, C.W. (2011). The concept of employee engagement: a comprehensive review from a positive organizational behavior perspective. *Performance Improvement Quarterly*, 24(2), 49-69. doi: 10.1002/piq.20110
- Kahn, W.A. (1990). Psychological conditions of personal engagement and disengagement at work." *The Academy of Management Journal*, 33, pp. 692-724. doi:10.2307/256287
- Katz, R. L. (1955). Skills of an effective administrator. *Harvard Business Review*, 33(1), 33-42.
- Kotter, J. P. (1990). *A Force for Change: How Leadership Differs from Management*. New York, NY: Free Press.
- Kotter, J. P. (2012). *Leading change*. Boston, MA: Harvard Business Review Press.
- Kotze, M., & Nel, P. (2015). The influence of trait-emotional intelligence on authentic leadership: original research. *SA Journal of Human Resource Management*, 13(1), 1-9. doi: 10.4102/sajhrm.v13i1.716

- Kramer, R. M. (1999). Trust and distrust in organizations: Emerging perspectives, enduring questions. *Annual Review of Psychology*, 50(1). Retrieved from <http://web.b.ebscohost.com.lib.pepperdine.edu/ehost/pdfviewer/pdfviewer?vid=1&sid=8a6992ad-05c3-487a-a8f4-e8e1239c3779%40sessionmgr120>
- Ladkin, D., & Taylor, S. S. (2010). Enacting the true self: Towards a theory of embodied authentic leadership. *The Leadership Quarterly*, 21(1), 64-74. doi:10.1016/j.leaqua.2009.10.005
- Lewicki, R. J. & Bunker, B. B. (1996). Developing and maintaining trust in work relationships. In R. Kramer and T. Tyler (Eds.), *Trust in organizations: Frontiers of theory and research*, (pp. 114-139). Thousand Oaks, CA: Sage Publications. doi: 10.4135/9781452243610.n7
- Lewicki, R. J., Tomlinson, E. C., & Gillespie, N. (2016). Models of interpersonal trust development: Theoretical approaches, empirical evidence, and future directions. *Journal of Management*, 32(6), 991-1022. doi:10.1177/0149206306294405
- Lewicki, R. J. & Wiethoff, C. (2000). Trust, trust development, and trust repair. In M. Deutsch and P. Coleman (Eds), *The handbook of conflict resolution: Theory and practice* (pp. 86-107). San Francisco, CA: Jossey Bass.
- Lockwood, N. R. (2007). Leveraging employee engagement for competitive advantage: HR's strategic role. *HR Magazine*, 52(3), 96. Retrieved from <https://pdfs.semanticscholar.org/acc4/4ab3d4cb3c648cb2993fe705129984440ffe.pdf>
- Ludwig, T. D. & Frazier, C.B. (2012). Employee engagement and organizational behavior management. *Journal of Organizational Behavior Management*, 32(1), 75-82. doi: 10.1080/01608061.2011.619439

- Luthans, F. (2002a). The need for and meaning of positive organizational behavior. *Journal of Organizational Behavior*, 23, 695-706. doi:10.1002/job.165
- Luthans, F. (2002b). Positive organizational behavior: Developing and managing psychological strengths. *Academy of Management Executive*, 16 (1), 57-75. Retrieved from <http://www.jstor.org/stable/4165814>
- Luthans, F., & Avolio, B. J. (2003). Authentic leadership development. In K. Cameron & J. Dutton and R. Quinn (Eds.), *Positive organizational scholarship: Foundations of a new discipline* (pp. 241-258). San Francisco, CA: Berrett-Koehler.
- Luthans, F., & Avolio, B. J. (2009). The "point" of positive organizational behavior. *Journal of Organizational Behavior*, 30(2), 291-307. doi:10.1002/job.589
- Luthans, F. Avolio, B., Avey, J. B., & Norman, S. M. (2007). Positive psychological capital: measurement and relationship with performance and satisfaction. *Personnel Psychology*, 60(3), 541-572. doi:10.1111/j.1744-6570.2007.00083.x
- Martin, W. E., & Bridgmon, K. D. (2012). *Quantitative and statistical research methods: From hypothesis to results*. San Francisco, CA: Jossey Bass.
- Macey, W. H. & Schneider, B. (2008). The meaning of employee engagement. *Industrial and Organizational Psychology*, 1(1), 3-30. doi:10.1111/j.1754-9434.2007.0002.
- MacLeod, D. & Clarke, N. (2009). Engaging for success: Enhancing performance through employee engagement. A report to Government. Department for Business, Innovation and Skill. London: Crown Publishing.
- Marciano, P. L. (2010). *Carrots and sticks don't work: Build a culture of employee engagements with the principles of RESPECT*. New York: McGraw-Hill.

- Maslach, C., Schaufeli, W. B., & Leiter, M. P. (2001). Job burnout. *Annual Review of Psychology*, 52, 1, 397-422. doi:10.1146/annurev.psych.52.1.397
- McKnight (2017). Leadership makes the difference. Inscription on building. Patton museum of leadership, Fort Knox, KY.
- May, D. R., Chan, A., Hodges, T., & Avolio, B. J. (2003). Developing the moral component of authentic leadership. *Organizational Dynamics*, 32, 247- 260. doi:10.1016/S0090-2616(03)00032-9
- May, D. R., Gilson, R. L., & Harter, L. M. (2004). The psychological conditions of meaningfulness, safety and availability and the engagement of the human spirit at work. *Journal of Occupational and Organizational Psychology*, 77(1), 11- 37. doi: 10.1348/096317904322915892
- McEvily, B. & Tortoriello, M. (2011). Measuring trust in organizational research: Review and recommendations. *Journal of Trust Research*, 1(1), 23-63. doi: 10.1080/21515581.2011.552424
- Morgan, D., & Zeffane, R. (2003). Employee involvement, organizational change and trust in management. *International Journal of Human Resource Management*, 14(1), 55-75. doi: 10.1080/09585190210158510
- Moustakas, C. (1994). Phenomenological research methods. Thousand Oaks, CA: Sage. doi:10.4135/9781412995658.dB
- Mumford, M. D., Zaccaro, S. J., Harding, F. D., Jacobs, T. O., & Fleishman, E. A. (2000). Leadership skills for a changing world: Solving complex social problems. *The Leadership Quarterly*, 11(1), 11-35. doi:10.1016/S1048-9843(99)00041-7

- Neider, L. L., & Schriesheim, C. A. (2011). The Authentic Leadership Inventory (ALI): Development and empirical tests. *The Leadership Quarterly*, 22(6), 1146-1164. doi: 10.1016/j.leaguan.2011.09.008
- Nelson, D. L., & Cooper, C. L. (2007). *Positive organizational behavior* [Kindle edition]. London: Sage.
- Neves, P., & Caetano, A. (2009). Commitment to Change: Contributions to Trust in the Supervisor and Work Outcomes. *Group & Organization Management*, 34(6), 623-644. doi:10.1177/105960
- Norman, S. M., Avolio, B. J., & Luthans, F. (2010). The impact of positivity and transparency on trust in leaders and their perceived effectiveness. *The Leadership Quarterly*, 21(3), 350-364. doi:10.1016/j.leaguan.2010.03.002
- Northouse, P. G. (2013). *Leadership: Theory and practice*. Thousand Oaks, CA: SAGE.
- Novicevic, M. M., Harvey, M. G., Ronald, M. & Brown-Radford, J. A. (2006). Authentic leadership: A historical perspective. *Journal of Leadership & Organizational Studies*, 13(1), 64-76. doi:10.1177/10717919070130010901
- Pepperdine University. (2015). *Institutional Review Board*. Retrieved from <https://community.pepperdine.edu/irb/>
- Quinn, P. L. (2000). Divine command theory. In H. LaFollette (Ed). *The Blackwell guide to ethical theory* (pp. 53-73). Oxford, OX, UK: Blackell Publishers. Retrieved from <http://pepperdine.worldcat.org.lib.pepperdine.edu/oclc/47010394>
- Perry, R. W., & Mankin, L. D. (2004). Understanding employee trust in management: Conceptual clarification and correlates. *Public Personnel Management*, 33, 277-290. doi:10.1177/009102600403300303

- Peterson, C., & Seligman, M. E. (2004). *Character strengths and virtues: A handbook and classification*. Washington, DC: American Psychological Association.
- Peterson, S. J., & Spiker, B. K. (2005). Establishing the positive contributory value of older workers: A positive psychology perspective. *Organizational Dynamics*, 34, 153–167. doi:10.1016/j.orgdyn.2005.03.002
- Peus, C., Wesche, J. S., Streicher, B., Braun, S., & Frey, D. (2012). Authentic leadership: An Empirical test of its antecedents, consequences, and mediating mechanisms. *Journal of Business Ethics*, 107(3), 331-348. doi:10.1007/s10551-011-1042-3
- Price, T. L. (2003). The ethics of authentic transformational leadership. *Leadership Quarterly*, 14, 67-82. doi:10.1016/S1048-9843(02)00187-X
- Ramlall, S. J. (2008). Enhancing employee performance through positive organizational Behavior. *Journal of Applied Social Psychology*, 38(6), 1580-1600. doi:10.1111/j.1559-1816.2008.00360.x
- Rego, P., Lopes, M., Nascimento, J. (2016). Authentic leadership and organizational commitment: The mediating role of positive psychological capital. *Journal of Industrial Engineering and Management*, 9(1), 129-151. doi:10.3926/jiem.1540
- Robbins, B. G. (2016). What is trust? A multidisciplinary review, critique, and synthesis. *Sociology Compass*, 10(10), 972-986. doi:10.1111/soc4.12391
- Rousseau, D. M., Sitkin, S. B., Burt, R. S., & Camerer, C. (1998). Not so different after all: A cross-discipline view of trust. *The Academy of Management Review*, 23, 393–404. doi:10.5465/AMR.1998.926617
- Saks, A. M. (2006). Antecedents and consequences of employee engagement. *Journal of Managerial Psychology*, 21(7), 600-619. doi:10.1108/02683940610690169

- Saks, A. M. and Gruman, J. A. (2014). What do we really know about employee engagement? *Human Resource Development Quarterly*, 25, 155–182. doi:10.1002/hrdq.21187
- Saldaña, J. (2013). *The coding manual for qualitative researchers* (2nd ed.). New York, NY: Sage Publishing.
- Salkind, N. J. (2003). *Exploring research* (5th ed.). Upper Saddle River, NJ: Prentice Hall.
- Schaufeli, W. B. (2014). What is engagement? In C. Truss, R. Delbridge, K. Alfes, A. Shantz, and E. Soane (Eds.), *Employee Engagement in Theory and Practice*. New York, NY: Routledge.
- Schaufeli, W. B., Bakker, A. B., & Salanova, M. (2006). The measurement of work engagement with a short questionnaire: A cross-national study. *Educational and Psychological Measurement*, 66, 701-716. doi:10.1177/0013164405282471
- Schein, E. H. (2010). *Organizational culture and leadership*. San Francisco, CA: Jossey- Bass.
- Seligman, E. P. (2011). *Flourish: A new understanding of happiness, well-being - and how to achieve them*. [e-book version]. Nicholas Brealey Publishing. Retrieved from <https://ebookcentral-proquest-com.lib.pepperdine.edu/lib/pepperdine/detail.action?docID=753390>
- Seligman, M. E. P., & Csikszentmihalyi, M. (2000). Positive psychology: An introduction. *American Psychologist*, 55(1), 5-14. doi:10.1037/0003-066X.55.1.5
- Senge, P. M. (1990). *The fifth discipline: The art and practice of the learning organization*. New York, NY: Doubleday/Currency.
- Shamir, B., & Eilam, G. (2005). “What's your story?” A life-stories approach to authentic leadership development. *The Leadership Quarterly*, 16(3), 395-417. doi: 10.1016/j.leaguan.2005.03.005

- Shuck, B., & Herd, A. M. (2012). Employee engagement and leadership: Exploring the convergence of two frameworks and implications for leadership development in HRD. *Human Resource Development Review, 11*(2), 156-181. doi:10.1177/1534484312438211
- Shuck, M.B. & Wollard, K.K. (2009). A historical perspective of employee engagement: An emerging definition. Retrieved from: http://works.bepress.com/michael_schuck/2/
- Shuck, B., & Wollard, K. (2010). Employee engagement and HRD: A seminal review of the foundations. *Human Resource Development Review, 9*(1), 89-110. doi: 10.1177/1534484309353560
- Sinek, S. (2009). *Start with why: How great leaders inspire everyone to take action*. New York, NY: Portfolio.
- Stogdill, R. M. (1948). Personal factors associated with leadership: A survey of the literature. *Journal of Psychology, 25*, 35-71. doi:10.1080/00223980.1948.9917362
- Survey Systems. (n.d.). Survey Systems survey sample size calculator retrieved from www.surveysystems.com.
- Tenbrunsel, A. E., & Messick, D. M. (2004). Ethical fading: The role of self-deception in unethical behavior. *Social Justice Research, 17*(2), 223-236. doi: 10.1023/B:SORE.0000027411.35832.53
- Trobia, A. (2008). Cronbach's alpha. In P. Lavrakas (Ed.), *Encyclopedia of Survey Research Methods*, (169-171). Thousand Oaks, CA: Sage.
- Vance, R. J. (2006). *Employee engagement and commitment: A guide to understanding, measuring, and increasing engagement in your organization*. Alexandria, VA: The SHRM Foundation.

- Vragel, P. (2013). Creating an employee engagement culture: Employee engagement begins with individual activity. *Ceramic Industry*, 163(10), 27-28.
- Wagner, R., & Harter, J. K. (2006). *The great elements of managing*. Washington, DC: The Gallup Organization.
- Walumbwa, F. O., Peterson, S. J., Avolio, B. J., Wernsing, T. S., & Gardner, W. L. (2008). Authentic leadership: Development and validation of a theory-based measure. *Journal of Management*, 34(1), 89-126. doi:10.1177/0149206307308913
- Walumba, F. O., & Wernsing, T. S. (2012). From transactional and transformational leadership to authentic leadership. In M. Rumsey (ed.). *The Oxford book of leadership*. doi: 10.1093/oxfordhb/9780195398793.001.0001
- Wang, D. S., & Hsieh, C. C. (2013). The effect of authentic leadership on employee trust and employee engagement. *Social Behavior and Personality*, 4(4), 613-624. doi: 10.2224/sbp.2013.41.4.613
- Wong, C. A., & Cummings, G. G. (2009). The influence of authentic leadership behaviors on trust and work outcomes of health care staff. *Journal of Leadership Studies*, 3, 6-23. doi: :10.1002/jls.20104
- Yuan, B., Lin, M., Shieh, J. & Li, K. (2012). Transforming employee engagement into long-term customer relationships: Evidence from information technology salespeople in Taiwan. *Social Behavior and Personality: An International Journal*. 40. doi. 10.2224/sbp.2012.40.9.1549.
- Zak, P. J. (2017). The neuroscience of trust management behaviors that foster employee engagement. *Harvard Business Review*, 95(1), 84-84. Retrieved from <http://pepperdine.worldcat.org.lib.pepperdine.edu/oclc/6919862880>

Zak, P. J., Kurzban, R. & Matzner, W. I. (2004). The neurobiology of trust. *Annals of the New York Academy of Sciences*, 1032(1), 224-227. doi:10.1196/annals.1314.025

Zhu, W., May, D. R. & Avolio, B. J. (2004) The impact of ethical leadership behavior on employee outcomes: The roles of psychological empowerment and authenticity. *Journal of Leadership and Organizational Studies*, 11(1), 16–26.
doi:10.1177/107179190401100104

Appendix A

ALI Survey Cover Letter

Pepperdine University
Graduate School of Education and Psychology

Dear Participant,

This study is the final requirement for my program of study to earn a Doctorate in Education in Organizational Leadership. This is my fourth and final year of studies. This study deals with the issue of authentic leadership, employee engagement, and trust in our company. Even the most valued, loyal employee may find the organization they work for to be one they cannot trust. The attached survey is designed to gather information that will be used to help organizations gain and maintain high levels of authentic leadership, employee engagement, and trust. Please take a few minutes to respond to the following survey.

All information will be kept completely confidential and it is NOT REQUIRED that you provide your name. While each survey is numbered, the numbers are used only to track and rate the results--your name will remain anonymous.

Thank you for your time. Your information is extremely valuable to this study and to those organizations that truly care and know the importance of happy, trusting employees.

Sincerely,

John Mason,
Doctoral Candidate
Pepperdine University

Appendix B

Authentic Leadership Inventory

Please take a few moments and answer the following questions on leadership. Reflect upon the relationship you have with your supervisor or manager (leader). Mark each question on a scale from 1 (strongly disagree) to 7 (strongly agree). There are 16 questions.

1. My leader solicits feedback for improving his/her dealings with others.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

2. My leader clearly states what he/she means.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

3. My leader shows consistency between his/her beliefs and actions.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

4. My leader asks for ideas that challenge his/her core beliefs.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

5. My leader describes accurately the way that others view his/her abilities.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

6. My leader admits mistakes when they occur.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

7. My leader uses his/her core beliefs to make decisions.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

8. My leader carefully listens to alternative perspectives before reaching a conclusion

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

9. My leader shows that he/she understands his/her strengths and weaknesses.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

10. My leader openly shares information with others.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

11. My leader resists pressures on him/her to do things contrary to his/her beliefs.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

12. My leader objectively analyzes relevant data before making a decision.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

13. My leader is clearly aware of the impact he/she has on others.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
-------------------	----------	-------------------	----------------------------	----------------	-------	----------------

1	2	3	4	5	6	7
---	---	---	---	---	---	---

14. My leader expresses his/her ideas and thoughts clearly to others.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

15. My leader is guided in his/her actions by internal moral standards.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

16. My leader encourages others to voice opposing points of view.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

Authentic leadership Inventory Items (Neider & Schriesheim, 2011, p. 1149)

Appendix C

Employee Engagement Survey

Please take a few moments and answer the following questions on employee engagement. Reflect upon how you feel about your position at the company. Mark each question on a scale from 1 (strongly disagree) to 6 (strongly agree). There are four sections with a total of 37 questions.

Accountability Index

1. As a leader, I took action based on the results from last year's Employee Engagement Survey.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

2. My workgroup reviewed the results from last year's Employee Engagement Survey.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

3. The person I report to took action based on the feedback from last year's Employee Engagement Survey.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

4. I personally take action to support employee engagement in my workgroup.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

Employee Experience Index

1. Sharing different ideas and perspectives is encouraged here.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

2. Employees in my work group are encouraged to share ideas and suggestions.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

3. The person I report to takes time to get to know me.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

4. I understand how my work supports company objectives.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

5. The person I report to supports a balance between work and personal life.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

6. My commitments outside of work are respected by the person I report to.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

7. The person I report to trusts that I can make good decisions regarding my work.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

8. The person I report to supports involvement in our local community.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

9. I feel good about the customer experience we deliver.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

10. I trust my team members to make decisions in the best interest of the company.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

11. Teamwork is encouraged within our workgroup.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
-------------------	----------	-------------------	----------------	-------	----------------

1	2	3	4	5	6
---	---	---	---	---	---

12. The person I report to facilitates collaboration with other workgroups.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

13. We make time to celebrate successes.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

14. There are opportunities within the company for me to gain new skills.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

15. I know where to find resources at the company that will enhance my career.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

16. The person I report to positively impacts my professional development.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

17. The person I report to provides valuable feedback to improve my performance.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

18. Our workgroup is committed to wellness, health, and safety.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

19. The person I report to demonstrates consistency between words and actions.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

20. We treat each other with dignity and respect.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
-------------------	----------	-------------------	----------------	-------	----------------

1	2	3	4	5	6
---	---	---	---	---	---

21. The company is a socially and environmentally responsible organization.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

Employee Engagement Index

1. Given the opportunity, I would tell others great things about working here.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

2. I would not hesitate to recommend the company to a friend seeking employment.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

3. It would take a lot to get me to leave the company.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

4. I rarely think about leaving the company to work somewhere else.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

5. The company inspires me to do my best work every day.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

6. The company motivates me to contribute more than is normally required to complete my work.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

Health and Safety Index

1. I am safer because of the activities of my local CHSP/Safety Committee.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

2. My local CHSP/Safety Committee educates the workgroup on personal health and wellness throughout the year.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

3. The person I report to is committed to providing a safe work environment.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

4. Employees in my area practice safe behaviors as demonstrated in the safety training the company provides.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

5. I am comfortable reporting a safety concern.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

6. I would be treated with respect if I had a work-related injury.

Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6

Appendix D

Organizational Trust Inventory

Please take a few moments and answer the following questions on trust. Reflect upon the relationship you have with your supervisor or manager (leader) and of the trust environment in at work in general. Mark each question on a scale from 1 (strongly disagree) to 7 (strongly agree).

There are 12 questions.

1. I think the people in the company tell the truth in negotiations.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

2. I think the that the company meets it negotiated obligations to our department.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

3. In my opinion, the company is reliable.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

4. I think that the people in the company succeed by stepping on other people.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

5. I feel that the company tried to get the upper hand.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

6. I think that the company takes advantage of our problems.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
-------------------	----------	-------------------	----------------------------	----------------	-------	----------------

1	2	3	4	5	6	7
---	---	---	---	---	---	---

7. I feel that the company negotiates with us honestly.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

8. I feel that the company will keep its word.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

9. I think the company does not mislead us.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

10. I think that the company tries to get out of its commitments.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

11. I feel that the company negotiates joint expectations fairly.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

12. I feel that the company takes advantage of people who are vulnerable.

Strongly Disagree	Disagree	Slightly Disagree	Neither Agree nor Disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

Appendix E

Informed Consent Form

PEPPERDINE UNIVERSITY

Graduate School of Education and Psychology

INFORMED CONSENT FOR PARTICIPATION IN RESEARCH ACTIVITIES

(Authentic Leadership, Employee Engagement and Trust)

You are invited to participate in a research study conducted by **John Mason and Dr. Kent Rhodes** of Pepperdine University, because of your job position. Your participation is voluntary. You should read the information below and ask questions about anything that you do not understand, before deciding whether to participate. Please take as much time as you need to read the consent form. You may also decide to discuss participation with your family or friends. If you decide to participate, you will be asked to sign this form. You will also be given a copy of this form for your records.

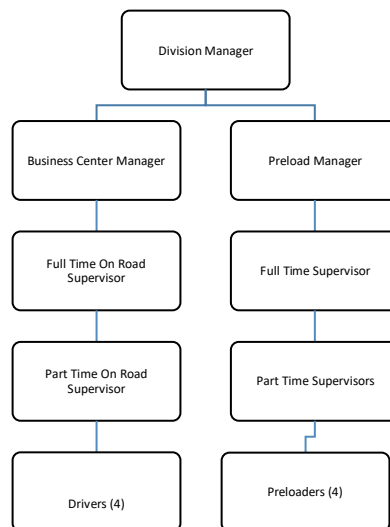
PURPOSE OF THE STUDY

STUDY PROCEDURES

If you volunteer to participate in this study, you will be asked to participate in a 30-minute interview to discuss trust in the workplace. The researcher's notes will be kept on file and the interviews will use audio recordings to assist the researcher in coding and analyzing results. No video will be used.

The study involves conducting surveys among management using an authentic leadership questionnaire and an employee engagement survey among hourly employees. Interviews are

being conducted with a division manager, a center manager, a preload manager, four full time and part time supervisors, four package car drivers and four preload employees.



POTENTIAL RISKS AND DISCOMFORTS

The researcher does not foresee, and risks associated with participation in this study.

POTENTIAL BENEFITS TO PARTICIPANTS AND/OR TO SOCIETY

While there are no direct benefits to the study participants, there are several anticipated benefits to society which include: helping to identify areas for leadership development,

PAYMENT/COMPENSATION FOR PARTICIPATION

You will not be paid for participating in this research study but you will receive a \$10.00 visa gift card for your time. You will receive your gift card at the completion of the interview.

CONFIDENTIALITY

I will keep your records for this study *confidential* as far as permitted by law. However, if I am required to do so by law, I may be required to disclose information collected about you. Examples of the types of issues that would require me to break confidentiality are if you tell me about instances of child abuse and elder abuse. Pepperdine's University's Human Subjects

Protection Program (HSPP) may also access the data collected. The HSPP occasionally reviews and monitors research studies to protect the rights and welfare of research subjects.

The data and audio recordings will be stored on a password protected cloud storage password protected drive with sole access to the researcher. The data will be stored for a minimum of three years. The data collected will be coded and transcribed. Your name will not be recorded by the researcher in any manner. The only tracking will be done by a code number on the diagram indicated below. The researcher will collect demographic data to be used to additional analysis. The data and recordings will not be released to a third party.

Position/ Coding	Division Manager	Center Manager	Preload Manager	FT Supervisor	PT Supervisor	Driver	Package Handler
	1	2	3	4	6	8	12
				5	7	9	13
						10	14
						11	15

There will be no identifiable information obtained in connection with this study. Your name, address or other identifiable information will not be collected. Any identifiable information obtained in connection with this study will remain confidential. Your responses will be coded with a numerical identifier and transcript data will be maintained separately. The audio recordings will be maintained as described above for three years at which time they will be permanently deleted.

PARTICIPATION AND WITHDRAWAL

Your participation is voluntary. Your refusal to participate will involve no penalty or loss of benefits to which you are otherwise entitled. You may withdraw your consent at any time and discontinue participation without penalty. You are not waiving any legal claims, rights or remedies because of your participation in this research study.

ALTERNATIVES TO FULL PARTICIPATION

The alternative to participation in the study is not participating or completing only the items which you feel comfortable. Your alternative is to not participate. Your relationship with your employer will not be affected whether you participate or not in this study.

RESEARCHER'S CONTACT INFORMATION

I understand that the researcher is willing to answer any inquiries I may have concerning the research herein described. I understand that I may contact John Mason at jcmason@pepperdine.edu if I have any other questions or concerns about this research.

RIGHTS OF RESEARCH PARTICIPANT – IRB CONTACT INFORMATION

If you have questions, concerns or complaints about your rights as a research participant or research in general please contact Dr. Judy Ho, Chairperson of the Graduate & Professional Schools Institutional Review Board at Pepperdine University, 6100 Center Drive Suite 500, Los Angeles, CA 90045, 310-568-5753 or gpsirb@pepperdine.edu.

Signature: _____

Date: _____

Study subject number: _____

Appendix F

Employee Engagement Survey Questions Answers per Question

<i>Accountability Index</i>	%F	%U	StrA	A	SA	SD	D	StrD
1. As a leader, I took action based on the results from last year's Employee Engagement Survey.	81	19	22	44	15	4	8	7
2. My workgroup reviewed the results from last year's Employee Engagement Survey.	67	33	16	38	13	7	13	13
3. The person I report to took action based on the feedback from last year's Employee Engagement Survey.	67	33	15	37	15	8	13	12
4. I personally take action to support employee engagement in my workgroup.	81	20	21	45	15	6	7	7
Accountability Index Total	74	26	18	41	14	6	10	10

<i>Employee Experience Index</i>	%F	%U	StrA	A	SA	SD	D	StrD
1. Sharing different ideas and perspectives is encouraged here.	73	27	19	38	16	7	10	10
2. Employees in my work group are encouraged to share ideas and suggestions.	73	27	19	38	16	7	10	10
3. The person I report to takes time to get to know me.	81	18	25	41	15	5	6	7
4. I understand how my work supports company objectives.	87	13	28	47	12	4	4	5
5. The person I report to supports a balance between work and personal life.	78	22	22	41	15	6	7	9
6. My commitments outside of work are respected by the person I report to.	79	21	23	42	14	6	7	8

7. The person I report to trusts that I can make good decisions regarding my work.	87	13	30	44	13	4	3	6
8. The person I report to supports involvement in our local community.	77	23	18	39	20	8	8	7
9. I feel good about the customer experience we deliver.	85	15	25	45	15	5	5	5
10. I trust my team members to make decisions in the best interest of the company.	83	17	24	44	15	6	5	6
11. Teamwork is encouraged within our workgroup.	82	18	27	40	15	6	5	7
12. The person I report to facilitates collaboration with other workgroups.	80	20	20	42	18	7	7	6
13. We make time to celebrate successes.	72	28	18	36	18	7	10	11
14. I know where to find resources at the company that will enhance my career.	78	21	20	41	17	7	7	7
15. The person I report to positively impacts my professional development.	78	22	21	39	18	7	7	8
16. The person I report to provides valuable feedback to improve my performance.	81	19	24	41	16	6	6	7
17. Our workgroup is committed to wellness, health, and safety.	86	14	30	42	14	4	4	6
18. The person I report to demonstrates consistency between words and actions.	82	18	23	43	16	6	5	7
19. We treat each other with dignity and respect.	81	19	26	40	15	6	5	8

20. The company is a socially and environmentally responsible organization.	83	17	24	42	17	6	5	6
Employee Experience Index Total	80	20	23	41	16	6	6	7
<i>Employee Engagement Index</i>	%F	%U	StrA	A	SA	SD	D	StrD
1. I would not hesitate to recommend the company to a friend seeking employment.	79	21	26	37	16	6	6	9
2. It would take a lot to get me to leave the company.	78	22	27	36	15	8	6	8
3. I rarely think about leaving the company to work somewhere else.	72	28	24	33	15	8	9	11
4. The company inspires me to do my best work every day.	78	22	24	38	16	7	7	8
5. The company motivates me to contribute more than is normally required to complete my work.	76	24	23	37	16	8	7	9
Employee Engagement Index Total	77	23	24	36	16	7	7	9

<i>Health and Safety Index</i>	%F	%U	StrA	A	SA	SD	D	StrD
1. I am safer because of the activities of my local CHSP/Safety Committee.	83	17	25	43	15	5	5	7
2. The person I report to is committed to providing a safe work environment.	86	14	28	44	14	5	4	5
3. Employees in my area practice safe behaviors as demonstrated in the safety training the company provides.	86	14	25	45	16	5	4	5
4. I am comfortable reporting a safety concern.	86	14	32	43	11	4	4	6
5. I would be treated with respect if I had a work-related injury.	73	27	23	37	13	7	7	13
Health and Safety Index Total	83	17	26	43	14	5	5	7

Employee Engagement Survey Total:	79	21	23	41	15	6	7	8

Appendix G

GSEP IRB Approval Letter



Pepperdine University
24255 Pacific Coast Highway
Malibu, CA 90263
TEL: 310-506-4000

NOTICE OF APPROVAL FOR HUMAN RESEARCH

Date: June 08, 2018

Protocol Investigator Name: John Mason

Protocol #: 18-04-786

Project Title: Authentic Leadership, Employee Engagement, and Trust at a Major Logistics Service Company

School: Graduate School of Education and Psychology

Dear John Mason:

Thank you for submitting your application for exempt review to Pepperdine University's Institutional Review Board (IRB). We appreciate the work you have done on your proposal. The IRB has reviewed your submitted IRB application and all ancillary materials. Upon review, the IRB has determined that the above entitled project meets the requirements for exemption under the federal regulations 45 CFR 46.101 that govern the protections of human subjects.

Your research must be conducted according to the proposal that was submitted to the IRB. If changes to the approved protocol occur, a revised protocol must be reviewed and approved by the IRB before implementation. For any proposed changes in your research protocol, please submit an amendment to the IRB. Since your study falls under exemption, there is no requirement for continuing IRB review of your project. Please be aware that changes to your protocol may prevent the research from qualifying for exemption from 45 CFR 46.101 and require submission of a new IRB application or other materials to the IRB.

A goal of the IRB is to prevent negative occurrences during any research study. However, despite the best intent, unforeseen circumstances or events may arise during the research. If an unexpected situation or adverse event happens during your investigation, please notify the IRB as soon as possible. We will ask for a complete written explanation of the event and your written response. Other actions also may be required depending on the nature of the event. Details regarding the timeframe in which adverse events must be reported to the IRB and documenting the adverse event can be found in the *Pepperdine University Protection of Human Participants in Research: Policies and Procedures Manual* at community.pepperdine.edu/irb.

Please refer to the protocol number denoted above in all communication or correspondence related to your application and this approval. Should you have additional questions or require clarification of the contents of this letter, please contact the IRB Office. On behalf of the IRB, I wish you success in this scholarly pursuit.

Sincerely,

Judy Ho, Ph.D., IRB Chair